

## SECURITY SPECIFICATION

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### ATTACHMENTS

1. Disco Form 562
2. DOE F 5631.29, DOE Security Termination Statement
3. Admiral Kinnaid R. McKee Letter, dated 11/5/87
4. Five Year Agreement For Protection Of Unclassified Naval Nuclear Propulsion Information
5. OPEN
6. Foreign Ownership, Control, or Influence Over Contractor (Representation)
7. DOE Form 5639.3, Report of Security Incident/Infraction
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1. PURPOSE

- 1.1 The purpose of this specification is to set forth the offeror's or vendor's administrative responsibility concerning security matters as they pertain to a procurement action administered by the Bettis Atomic Power Laboratory (hereinafter referred to as Bettis). The provisions of this specification are applicable to all equipment, components, documents, drawings, computer media, audiovisual media, and any other media containing classified or unclassified Naval Nuclear Propulsion Information.

2. RESPONSIBILITY

- 2.1 It is the responsibility of the offeror or vendor to comply promptly with all Department of Energy (DOE) or Defense (DOD) (whichever is appropriate) security regulations, instructions contained in this document, those that may be spelled out in the procurement action, and those contained in the General Provisions.
- 2.2 It is the responsibility of Navy Shipyards and of vendors who have Management and Operating (M&O) Prime Contracts with the Department of Energy to comply fully with existing aspects of their approved security system when handling classified information provided under this order.
- 2.3 In the event that you become involved in litigation and confidential or unclassified-Naval Nuclear Propulsion Information (NNPI) as contained in a Bettis purchase order is solicited as part of a judicial or administrative proceeding, or is otherwise the subject of discovery, contact the Buyer in the Bettis Procurement Department immediately so that Bettis can assist you in preparing a Protective Order which affords the NNPI data the protection that is required under security regulations. Bettis will provide assistance as required, however, it is the responsibility of the vendor, and its attorney, to prepare a Protective Order and have it filed with the appropriate court.

3. APPLICABLE GOVERNMENT SECURITY REGULATIONS

3.1 Prevailing Security Regulations

- The DOE Security Regulations shall apply to this order unless the offeror or vendor exclusively has obtained DOD clearances, has a dual clearance, or unless otherwise stated. If the offeror or vendor has active dual clearances, contact the Bettis Buyer to get a determination as to which one should be utilized.

3.2 DOE Security Regulations

- Vendors performing classified work are required to be in compliance with security requirements as identified in applicable DOE orders.
- Bettis has available for its vendors and their lower-tier vendors free copies of DOE Orders which identify certain security requirements as well as other security educational material.

3.3 Department of Defense Security Regulations

- Applicable security regulations for Bettis vendors and lower-tier vendors are covered in the DOD National Industrial Security Program Operating Manual. For guidance and specific instructions, contact the cognizant Defense Security Service (DSS) Regional Office that granted the DOD facility clearance.

4. DOE ACCESS AUTHORIZATIONS (CLEARANCES)

4.1 Definition

An Access Authorization (Security Clearance) is an administrative determination that an individual who is either a DOE employee, applicant for employment, consultant, assignee, other Federal department or

agency employee (and other persons who may be designated by the Secretary of DOE), or a DOE contractor or subcontractor employee, is eligible for access to classified matter, or special nuclear material. The levels of clearances granted by the DOE are designated as "Q" or "L".

#### 4.2 Procedures for Obtaining & Submitting Access Authorization

Individuals wishing to obtain a DOE granted Clearance must complete a Questionnaire for National Security Positions (QNSP) and related documents, which includes fingerprint cards. The clearances will be provided without cost to vendors except for any cost associated with completing the QNSP forms and the time required for fingerprinting.

- When clearances are required in connection with the performance of work involving a vendor Facility Approval, or for work on the Bettis site, the QNSPs will be submitted directly to Bettis Security.
- Contractors (at any level) are required to ensure that United States citizenship is verified for each employee prior to the submittal of Standard Form 86 (the Questionnaire for National Security Positions (QNSP)). A copy of the Citizenship Verification form is provided as Attachment 10 and will be provided to each applicant in the QNSP packet. The form must be submitted with the QNSP. The verification is not required for reinvestigations.

NOTE: Persons not directly employed by contractors (e.g., union personnel or single individuals) are required to provide this verification themselves.

- Contractors submitting QNSPs for processing are not permitted to access Part 2 of the QNSP and contractors are not permitted to retain paper or electronic copies of the QNSP unless written permission for such access has been provided by the employee to the contractor.
- Within two weeks after placement of the order, the Seller must submit completed Questionnaires for National Security Positions (QNSPs) for all personnel who shall be used to perform on-site work but do not hold an active security clearance. The Seller shall make requested corrections and shall return the QNSPs to Bettis within two weeks of request. Approximately two to four months are required to process the required "L" clearance after receipt of an acceptable QNSP from the Seller.
- If the Seller refuses or fails to process the QNSPs within the time period specified, Bettis may, by written notice to the Seller, issue a no-cost termination of the order.
- The Seller must submit a sufficient number of QNSPs to provide a margin for illnesses, personnel terminations and those individuals whose QNSPs require extended processing time.
- If the Seller fails to have a crew of sufficient size security cleared in time to meet the schedular requirements, Bettis may terminate the order when such action is in the best interest of Bettis.
- Contractors should consider conducting pre-employment checks on personnel prior to the submittal of the Standard Form 86 (the Questionnaire for National Security Positions (QNSP) to prevent processing delays.
- Verbal notification shall be provided by the contractor to Bettis Security for the following conditions affecting an employee's DOE security clearance status. Verbal notification within two working days shall be confirmed in writing within ten working days as follows:
  - ◇ When an applicant for employment declines the offer of employment or fails to report for duty.
  - ◇ When the need for access authorization is terminated.
  - ◇ When aware that an individual under their cognizance has been hospitalized or is otherwise being treated for a mental illness or such other condition that may cause a significant defect in judgment or reliability.

- ◇ When made aware of derogatory information of personnel security interest. Such information must be characterized as reliable and relevant and create a question as to an individual's DOE access authorization eligibility.
- ◇ When a cleared contractor employee is on a leave of absence or on extended leave for 90 consecutive calendar days. Upon request, the interval may be adjusted at the discretion of the cognizant DOE office.
- ◇ When access to classified matter or SNM (including on-site access) is no longer required due to transfer to a position not requiring such access (NOTE: The cognizant DOE office may approve a contractor request for an individual to retain an access authorization when the contractor verifies that the individual shall be reemployed or reassigned by the contractor within the next 3 months in a position that will require an access authorization. The contractor shall inform the cognizant DOE office of the individual's employment status at the end of the 3 month interval.)
- ◇ When a foreign national under their cognizance becomes a United States citizen through naturalization or affects some other change in citizenship.
- ◇ When an employee's access to DOE classified matter or Special Nuclear Material (SNM) is withdrawn or restricted by the contractor without explicit direction by DOE.
- ◇ When cleared employee leaves for foreign travel, employment, assignment, education, or residence of more than 3 months duration not involving official United States Government business. (NOTE: This requirement applies even if the individual remains employed by the contractor.)
- ◇ When a security cleared employee terminates his/her employment with the contractor.

#### **4.3 INDIVIDUAL REPORTING REQUIREMENTS**

In addition to the reporting requirements identified above and on DOE Form 5631.18 (Security Acknowledgment), contractors shall inform their employees applying for or granted a DOE access authorization that the employees are personally responsible for the following:

- Providing full, frank, and truthful answers to relevant and material questions, and when requested, furnishing or authorizing others to furnish information that DOE deems pertinent to the access authorization eligibility. This applies when completing security forms, during the course of an initial investigation or reinvestigations, and at any stage of access authorization processing including but not limited to letters of interrogatory, personnel security interviews, DOE-sponsored mental evaluations, and other authorized DOE investigative activities. An individual may elect not to cooperate; however, such refusal may prevent DOE from granting or continuing access authorization. In this event, any access authorization then in effect may be terminated or further processing may be suspended.
- Providing verbal notification to the Bettis Security Office within two working days, followed by written notification within the next three working days, of any of the following:
  - a. All arrests, criminal charges (including charges that are dismissed), or detentions by Federal, State, or other law enforcement authorities for violations of the law, other than traffic violations for which a fine of \$250 or less was imposed, within or outside of the United States.
  - b. Personal or business-related filing for bankruptcy.
  - c. Garnishment of wages.
  - d. Legal action effected for a name change.
  - e. Change in citizenship.
  - f. Employment by, representation of, or other business-related association with a foreign or foreign-owned interest or foreign national.

- Notifying the Bettis Security Office immediately after any approach or contact by an individual seeking unauthorized access to classified matter or SNM. If such an approach or contact is made while on foreign travel, notification should be made to a Department of State official at the local United States Embassy or Consulate with a request that the Department of State report the incident to the DOE Director of Safeguards and Security.
- Providing a completed DOE F5631.34, "Data Report on Spouse", directly to the Security Office within 45 calendar days of marriage to, cohabitation with, an individual who does not currently hold access authorization. These forms are available from the Bettis Security office.

## **5. PROVISIONS FOR CLASSIFIED WORK AT A VENDOR FACILITY**

- 5.1 Prior to receipt of a classified Inquiry or Purchase Order, the vendor must have a DOE or DOD Facility clearance and possess (for each classified inquiry or purchase order) an approved Form DOE F5634.2, Contract Security Classification Specification (CSCS) or a DOD Contract Security Classification Form DD 254. The DOE Facility clearance requires the vendor to have personnel with DOE final agency granted clearances and an approved DOE security plan. The DOE security plan must describe in detail the procedures and measures for safeguarding classified information vital to the national defense. Upon request, Bettis will supply DOE security plan guidelines to assist in the preparation of DOE vendor security plans. Once a DOE security plan has been approved, the vendor may proceed to implement the security measures outlined in the plan. A facility inspection by the cognizant DOE office is required to ensure that DOE security measures are appropriately incorporated.

Facilities applying for a DOD Facility Clearance are required to prepare written Standard Practice Procedures to implement the requirements of the DOD-National Industrial Security Operating Manual and provide the security controls for use within the facility. Instruction and guidance concerning the handling of procurement actions under DOD security regulations can be obtained from the DOD-National Industrial Security Operating Manual or the facility's cognizant DOD security office.

Vendors possessing a Facility Clearance are subject to periodic DOE or DOD security inspections, as applicable. The inspectors will conduct a survey to determine if compliance to the measures outlined in the security plan are in accordance with the appropriate security regulations. Additionally, approved vendor facilities will be sent security bulletins or industrial security letters concerning security related issues and modifications.

### **5.2 Successful Offeror**

- If it is evident that the successful DOE offeror (vendor) will be generating classified documents, the vendor may require a Bettis appointed authorized classifier to review and classify those documents. To obtain such an appointment the vendor should select one of his cleared engineering or technical personnel. Training and indoctrination in the techniques of security classification may require a visit to the Bettis Laboratory. Following the receipt of the appointment, it is expected that classification determinations will occupy a minor portion of this person's time. To initiate the appointment action, the vendor should request the proper forms from the Buyer, complete them, and submit them to the Buyer.

If the facility currently has a DOE appointed authorized classifier, his or her name and the name of the approving agency should be provided to Bettis along with the response to an inquiry. Successful DOD offerors should seek assistance with classification guidance from the DOD-National Industrial Security Operating Manual or their cognizant DIS Regional Office.

- Bettis approval must be obtained for all DOE-cleared vendor lower-tier actions involving classified documents or classified work which the vendor proposes to process outside of its own facility. Security approval of DOD-cleared vendor lower-tier actions involving classified documents or work is obtained by the vendor through the cognizant DOD Security Office. Copies of the DD-254 should be forwarded to Bettis for information. In no case should classified matter be released to a lower-tier vendor until the necessary Facility Security Clearance or approval for that proposed vendor is granted. In order to obtain the necessary approval for such DOE lower-tier actions, the vendor must contact the Buyer and

provide information, as requested, relative to the proposed lower-tier vendor type of work, duration of work, etc.

- In connection with DOE classified procurement actions which are approved under DOD security regulations, it is important to note that a vendor-granted access authorization will not be acceptable for access to Bettis supplied classified matter. Final agency-granted DOD secret or confidential access authorizations are acceptable. In the event the DOE procurement action is to be approved for handling under DOD security regulations, the vendor must furnish a written statement that the vendor will advise Bettis immediately in the event his existing DOD security facility approval is terminated by the DOD.
- The transmission and handling of all classified matter shall be in accordance with the requirements of the vendor security office. Specific DOE guidance for classified matter protection and control is available for DOE cleared vendors from the Bettis Security Office, upon request. Similar DOD guidance (NISPOM) for DOD cleared vendors can be obtained from the vendor's cognizant field office.
- If during the performance of work under the action it is necessary for vendor personnel with DOE security clearance(s) and proper access authorization to visit Bettis to discuss or view classified matter, a Request for Visit or Access Approval must be executed. This request shall be submitted by the individual(s) making the visit to the security office through which their access authorization was obtained to the Bettis Security office, via DOE Form F 5631.20, Request for visit or Access Approval, or, if the access authorization was obtained through Bettis, the required form(s) will be prepared by the Buyer upon request and processed through Bettis Security. Visit requests for DOD vendor personnel may be submitted to the Bettis Security office through whatever means is approved by the cognizant DOD Security office.

In the event that at least four or more visits are contemplated within a 12-month time period, it is suggested that a single request be issued to cover all anticipated visits to Bettis. Visit requests cannot be submitted for greater than 12 months.

- Within 120 days after completion of the scope of work under the procurement action, and acceptance by Bettis, the vendor is required to:
  - a. Return to the Buyer or destroy (to be determined by Bettis) all classified matter received or generated by the vendor for the purposes of preparing the proposal for and performing work under this action, and
  - b. For a DOE Facility-cleared vendor certifying non-possession of classified documents, execute and submit to the Buyer copies of form PNR F5635.1, Certification of Non-Possession. This certification applies only to the classified matter related to this action and the proposal. Further, the certificate must be signed by an individual with proper access authorization. For a DOD Facility-cleared vendor certifying non-possession of classified documents, a letter may be submitted to the buyer for information and record purposes verifying the disposition of classified matter.
  - c. If a DOE-cleared vendor has reason to retain classified matter in connection with warranty provisions or for another Bettis classified action (other reasons are not recognized), complete and submit form PNR F5635.2, Certificate of Possession. The DOE-cleared vendor shall insert in the appropriate spaces on form F5635.2 the identity of the matter being retained, the justification for retention, and the date on which the classified matter will be returned or destroyed. This request will be processed through Bettis and the vendor will be notified accordingly if the request is denied.
  - d. If a DOD-cleared vendor has reason to retain classified matter, it must notify Bettis of the documents or material being retained under the contract. If Bettis does not advise to the contrary, the vendor may retain such documents or material for a period of two years from the date of this notification. The DD Form 254 in existence at this time will continue in effect for this two-year

- e. period. If retention is required beyond the two-year period, the vendor must request retention authority from Bettis. At this time, if Bettis determines the vendor has a continuing need for the material, Bettis is required to issue a final DD Form 254 for the classified contract. Item 5 of the DD Form 254 applies and will be completed to show the retention period, as appropriate. Item 13 of the DD Form 254 will be annotated to provide final disposition instructions for the classified material under the contract.

**5.3 Unsuccessful Offeror**

- After the successful offeror is selected, the Buyer notifies each unsuccessful offeror who, within 30 days, is required to:
  - a. Return to the Buyer, or destroy (will be determined by the Buyer) all classified matter received or generated by the offeror for the purposes of preparing this proposal.
  - b. DOE-cleared vendors are to execute and submit to the Buyer, copies of form PNR F5635.1, Certificate of Non-Possession. This certification applies only to the classified matter related to this proposal and must be signed by an individual with proper access authorization. A DOD-cleared vendor must indicate on the form or in a letter whether the classified matter was returned or destroyed.

**6. PROVISIONS FOR BETTIS ON-SITE WORK**

- 6.1 Unless otherwise stated, vendor personnel will not be permitted on the Bettis site prior to the granting of appropriate DOE clearances. A current DOD final Agency-granted clearance may be used at Bettis in lieu of a DOE clearance, provided that Bettis' prior approval is obtained.
- 6.2 Upon placement of a procurement action which involves work on the Bettis site, the following shall apply:
  - Completed and corrected QNSPs for uncleared personnel, shall be submitted directly to Bettis Security.
  - Bettis will notify the vendor of personnel clearances granted by the DOE. The Buyer will subsequently coordinate with the vendor and appropriate Bettis personnel a start date for the work. Prior to the start of any on-site work, the following must be accomplished:
    - a. Completion of appropriate Bettis internal forms.
    - b. Attendance by all vendor personnel, except for material delivery personnel, at a Bettis indoctrination presentation, which lasts approximately 40 minutes. This will thereafter become an annual requirement for those personnel requiring access to the site for extended periods.
  - Upon commencement of work at the Bettis site:
    - a. If vehicles or equipment are to be required in performance of the work scope, the Buyer should be informed prior to the start date. All vehicles or equipment entering the Bettis site may be subject to a search or examination by a Bettis Security Inspector.
    - b. Vendor personnel, unless specified elsewhere in the purchase order, will require continual escort by cleared Bettis-Pittsburgh personnel. However, at Bettis-Idaho, DOE cleared personnel do not require escorts.
  - All vendor personnel must sign a visitor control register upon entering the Laboratory.
  - Unless otherwise specified in the order, vendor delivery personnel need not have DOE clearances. The vendor should advise the Buyer 24 hours in advance of all deliveries to be made by delivery personnel not possessing a DOE clearance.

Uncleared delivery personnel must be escorted by a cleared, Bettis employee while at the Bettis site. Additional escorts may be provided depending upon the number of vendor personnel and the area(s) involved.

**7. REPORTS**

- 7.1 DOE Form 5639.3, "Report of Security Incident/Infraction" (Attachment 7) shall be used to document security infractions in accordance with DOE order 471.2A. A copy of the report shall be kept in the employee's personnel and security files. The security office reporting security infractions shall maintain records of each infraction, which shall include all pertinent facts associated with the infraction.
- 7.2 DOE Form 5639.2, "Reporting Unaccounted-For Documents" (Attachment 8) shall be used to report and document all missing or unaccounted-for classified documents in accordance with DOE Order 471.2A.

**8. TERMINATION OF PERSONNEL SECURITY CLEARANCES**

The vendor and the Buyer shall, upon completion of any classified purchase order involving utilization of cleared personnel, evaluate the need for terminating individual clearances. Those personnel cleared for on-site work may retain clearances without regard to the completion or expiration date of any purchase order provided that there is a likelihood of continued need for them to have access to the Bettis site for pending or potential future orders. When there is no likelihood that an individual may have a continued need to have access to the Bettis site, the Buyer should be contacted prior to terminating the individual's clearance. The process for termination of a clearance is as follows:

- a. The employee has executed the appropriate DOE Security Termination Statement, DOE Form F 5631.29, and/or Disco Form 562, Personnel Security Clearance Change Notification (Attachments 1 and 2), applicable to access to Bettis information.
- b. Security badges or any other identifying media which would permit the employee access to the Bettis site have been recovered from the employee.
- c. A signed Security Termination Statement (DOE Form F 5631.29) has been forwarded to Bettis.
- d. The employee has been removed from the register of cleared employees and all access lists which would provide access to classified Bettis information.

No clearances should be terminated without the concurrence of the Buyer.

**9. FOREIGN OWNERSHIP, CONTROL, OR INFLUENCE OVER CONTRACTOR (DOE)**

- 9.1 For purposes of this provision, a foreign interest is defined as:
  - a. Any foreign government, agency of a foreign government, or representative of a foreign government; any form of business enterprise or entity organized under the laws of any country other than the U. S. or its possessions, and any foreign national. Therefore, firms organized under the laws of the United States, regardless of potential foreign ownership can receive contracts requiring access to U-NNPI, if the firm formally agrees to protect the information.
- 9.2 Foreign ownership, control, or influence (FOCI) means the situation where the degree of ownership, control, or influence over a contractor by a foreign interest is such that a reasonable basis (including on-site access, if applicable) exists for concluding that compromise of classified information or a significant quantity of special nuclear material as defined in 10 CFR Part 710 may result.
- 9.3 Refer to the General Provisions article "Foreign Ownership, Control, or Influence over Seller" for additional FOCI related requirements.

- 9.4 A DOE-cleared offeror (if a separate legal entity) must complete and provide the Foreign Ownership, Control or Influence Over Contractor (Representation), (Attachment No. 6 to this form) to Bettis. NOTE THAT ALL FOCI SUBMITTALS SHALL BE COMPLETED BY THE BIDDER OR VENDOR AND ALL TIER PARENTS (ULTIMATE PARENT AND ANY INTERVENING LEVELS OF OWNERSHIP) IN THOSE CASES WHERE THE BIDDER OR VENDOR IS OWNED BY ANOTHER COMPANY OR CONTROLLED BY A PARENT ORGANIZATION.

A DOD-cleared offeror must resolve FOCI issues through their cognizant DOD Security Office.

- 9.5 Prior to obtaining security cleared on-site access, access to classified information or access to a significant quantity of special nuclear material, the DOE/DOD must determine that the offeror will not pose an undue risk to the common defense and security as a result of its access to classified information or a significant quantity of special nuclear material. In those cases where FOCI does exist, and the DOE/DOD determines that an undue risk to the common defense and security may exist, the offeror shall be requested to propose within a prescribed period of time a plan of action to avoid or mitigate the FOCI by isolation of the foreign interest. The types of plans that an offeror can propose are: measures which provide for physical or organizational separation of the facility or organizational component containing the classified information or special nuclear material; modification or termination of agreements with foreign interests; diversification or reduction of foreign source income; assignment of specific security duties and responsibilities to board members or special executive level committees; or any other actions to negate or reduce FOCI to acceptable levels. The plan of action may vary with the type of foreign interest involved, degree of ownership, and information involved so that each plan must be negotiated on a case-by-case basis. The Contracting Officer may require the offeror to submit such additional information as deemed pertinent to this determination. If the offeror and the DOE/DOD cannot negotiate a plan of action that isolates the offeror from FOCI satisfactory to the DOE/DOD, then the offeror shall not be considered for order award.
- 9.6 All offeror/vendor owners, officers, Board of Directors, and executive personnel shall be excluded from access to all DOE classified information and/or special nuclear material under this inquiry/order, unless the personnel possess a DOE security clearance. In addition, the offeror/vendor shall agree that if there is a foreign board member on the company's Board of Directors, that foreign board member will be strictly excluded from dealings on this inquiry/order.
- 9.7 The offeror/vendor shall report to Bettis any attempts made by foreign interests at influence through threats of withdrawal of business or foreclosure.
- 9.8 The offeror should require any subcontractors, who will have security cleared on-site access, access to classified information or access to a significant quantity of special nuclear material to submit the FOCI (Representation) through each higher tier contractor, including Bettis or directly to the DOE Contracting Officer (Manager, PNR).
- 9.9 Information submitted by the DOE-cleared offeror in response to the FOCI (Representation) is to be used solely for purposes of evaluating foreign ownership, control, or influence and shall be treated by Bettis and the DOE, to the extent permitted by law, as business or financial information submitted in confidence.
- 9.10 Whether during the bidding process or after award, the DOE-cleared offeror/vendor shall immediately provide Bettis written notice of any changes in the extent and nature of FOCI which would affect the data provided in the FOCI (Representation). Further, notices of changes in ownership or control which are required to be reported to the Securities and Exchange Commission, the Federal Trade Commission, or the Department of Justice, shall also be furnished concurrently to Bettis.

In those cases where a DOE-cleared offeror/vendor has changes involving FOCI, the DOE with the assistance of Bettis, shall determine whether the changes will pose an undue risk to the common defense and security. In making this determination, the DOE Contracting Officer shall consider proposals made by the offeror/vendor through Bettis to avoid or mitigate foreign influences.

**10. GUIDELINES FOR VENDOR COMPUTER SECURITY**

- 10.1 A computer security plan is required when confidential information (either National Security Information or Restricted Data) is being processed or stored on ANY computer equipment. If the information is Unclassified Naval Nuclear Propulsion Information or Unclassified Controlled Nuclear Information, restrictions for processing sensitive information are required (see 10.2 below). This even includes word processing on a PC. If the computer is being used to collect data AND the data is not classified or sensitive until it is associated with text labels, the data is not considered classified or sensitive. A plan is not required if the data and the text are not associated within the computer.

Based on the above criteria, if a bidder or vendor concludes that a computer security plan is required, the bidder or vendor must so inform the Buyer who will supply it with various government and Bettis produced documents to aid in the preparation of a plan and a system evaluation. The documents will include the Department of Energy Manual 5639.6A1, the Department of Defense Trusted Computer System Evaluation Criteria (Orange Book), and the Bettis Computer System Security Officer Manual. In addition, the Bettis Computer Security staff will assist the bidder or vendor in preparing the plan and system evaluation. The Bettis Computer Security staff will complete a certification of the system and submit the plan and evaluation to Pittsburgh Naval Reactors and request accreditation of the system. The accreditation of the system is valid for three years or until the security of the system is altered, either by software or hardware changes, requiring a re-accreditation.

**10.2 Basic Protection Requirements for Automated Data Processing (ADP)**

- a. Scope - This paragraph provides basic protection requirements for Automated Data Processing (ADP) systems containing classified and unclassified Naval Nuclear Propulsion Information (NNPI). These requirements will be implemented in a user transparent manner, prevent access to sensitive information from outside the authorized entity while allowing wide access within the authorized entity, and ensure data integrity is maintained.

**b. Basic Policy**

1. Classified NNPI - Multi-user ADP systems, with multiple need-to-know, which contain classified NNPI will be designed to meet "C2" requirements (as identified in the DOD Trusted Computer System Evaluation Criteria), will provide need-to-know controls for access to NNPI and will meet the disclosure requirements of this Security Specification. A single-user computer connected to multiple need-to-know ADP systems need only meet "C1" if the network and file server of the ADP system meet "C2" and physical access controls are provided for the computer.

Stand-alone ADP equipment and multi-user ADP systems with a single need-to-know will be designed to meet "C1" requirements (as identified in the DOD Trusted Computer System Evaluation Criteria), will provide need-to-know controls for access to NNPI, and will meet the disclosure requirements of this Security Specification.

Classified ADP systems may be provided with a connection to an unclassified ADP system provided the system is designed to ensure no classified information is passed to the unclassified system.

2. Unclassified Reactor Plant Information - Unclassified multi-user ADP systems which contain NNPI associated with Reactor Plant Information will either:
- a. Meet "C2" requirements for equipment and software ( as identified in the DOD Trusted Computer System Evaluation Criteria), will enforce need-to-know controls (minimum of password control for need-to-know and will address the controls in paragraphs 3, 4, and 5 of this section, or
- b. Segregate the Unclassified Reactor Plant Information from other unclassified computer systems (networks) not authorized for Reactor Plant Information (i.e., systems which can be accessed by foreign nationals within the entity and/or are connected to other off-site systems) and meet the controls in paragraphs 3, 4, and 5 below.

3. ADP systems accessible by the public or foreign nationals - ADP systems containing NNPI will be designed to ensure that no access is provided to foreign nationals or representatives of a foreign interest. Furthermore, the ADP system will meet the disclosure policies of this Security Specification. ADP systems which can be accessed by the public (i.e., non-government or non-authorized contractor personnel) or foreign nationals are not authorized for processing or storage of NNPI.
4. Compilation - Due to the large volume of U-NNPI which could be dealt with in computer systems, there is a potential to have a compilation of U-NNPI which would result in the creation of classified information. Additional precautions need to be taken to ensure that unclassified systems do not have classified information introduced through compilation.
5. Other security controls - ADP systems that contain Reactor Plant Information require physical access control to the computers/terminals in addition to software protection (i.e., the use of passwords). This can be provided through access control into a specific area or by controlling access to a specific terminal.

Equipment design and installation must provide assurance that the destination of printed materials is known and that hard copy output is controlled to prevent unauthorized access to NNPI.

Users of the system shall not permit individuals without a need-to-know to have access to the system while NNPI is being processed. Incidental access to computer screens is not access to the system.

Computer networks using cables to connect different controlled areas within a site must be designed to ensure that the cable is totally within a Controlled Area or the cable must be accessible so that it can be visually monitored or protected in a manner which will allow detection of tampering.

Data transmission of U-NNPI within a site can be accomplished without encryption provided the originating point, transmission lines, and ending point are within the same site.

Reactor Plant Information may be stored on electronic media provided that the media is properly stored (removable disks locked up, computer locked up, or the area where the computer is located is locked) when not in use.

- c. Connections to off-site locations (modems or hardwired) - Access to any ADP containing NNPI from off-site requires protection beyond that provided for access from within the activity.
  1. Access between activities - Access between activities raises concerns over the potential loss of access control by either location. One problem is the need to verify the clearance and/or need-to-know at the location. An approved method of solving this concern is to use an isolated stand-alone computer to transmit between approved activity sites. An electronic mailbox system using a Point of Entry control could also be acceptable, provided there is no access into the site's network and all releases of information are approved by authorized individuals. Other methods of controlling off-site connections will be reviewed on a case-by-case basis.
  2. Access from/to an off-site location of a specific activity - Access to an activity ADP system containing NNPI from an "off-site" location of the same activity can be accomplished provided the same physical access controls exist at the "off-site" location as at the activity and the "off-site" location's physical security authorization identification actions (i.e., badges and access controls) are implemented.
- d. Administrative Controls
  1. The marking and labeling requirements of this specification apply to ADP storage media. ADP equipment will be marked to identify the highest level of information authorized.

2. The security requirements identified herein are the minimum requirements for the protection of U-NNPI. Additional administrative controls may be added to computer networks due to other information contained on the system.

#### 11. GUIDANCE ON UNCLASSIFIED NAVAL NUCLEAR PROPULSION INFORMATION PROCUREMENTS

This Guidance applies to (check as applicable; multiple checks may be made depending on the nature of the work of the Purchase Order).

Primary Plant Component	<input type="checkbox"/>
Secondary Plant Component	<input type="checkbox"/>
Propulsion Plant Component	<input type="checkbox"/>
Steam Plant	<input type="checkbox"/>

Other (Specify) \_\_\_\_\_

##### 11.1 Definitions

- a. Naval Nuclear Propulsion Information - Naval Nuclear Propulsion Information is all information, classified or unclassified, concerning the design, arrangement, development, manufacture, testing, operation, administration, training, maintenance, and repair of the propulsion plants of naval nuclear-powered ships and prototypes including the associated shipboard and shore-based nuclear support facilities.

Information concerning equipment, components, or technology which are applicable to both naval nuclear and conventional propulsion plants is not considered to be NNPI when used in reference to conventional applications only, provided no association with naval nuclear propulsion can be directly identified from the information in question. In cases where an association with naval nuclear propulsion can be directly identified from the information in question, designation of the information as NNPI is mandatory.

- b. Unclassified Controlled Nuclear Information (UCNI) - Unclassified Controlled Nuclear Information in the Naval Nuclear Propulsion Program is defined as:
1. unclassified information pertaining to the protection and control of special nuclear material at the Naval Nuclear Propulsion Program Laboratories, the prototype sites, and the Moored Training Ships, or special nuclear material under transport or in storage or
  2. unclassified technical information concerned with the design and design-related operational information which could be expected to result in significantly increasing the likelihood of successful sabotage of a Naval Reactor.

Note: Since the above defined UCNI information would also be considered U-NNPI, a separate marking for UCNI is not required, provided that the information is marked and controlled as NOFORN or classified.

- c. Foreign National - For purposes relating to the safeguarding of NNPI, a foreign national is any person not a United States citizen or a United States national (except non-U. S. citizens or non-U. S. nationals serving on active duty in the U. S. military or as United States government employees who are allowed access to NNPI). Non-U. S. citizens or non-U. S. nationals permanently residing in the United States are considered to be foreign nationals.
- d. Foreign Interest - Any foreign government, agency of a foreign government, or representative of a foreign government; any form of business enterprise or entity organized under the laws of any country other than the U. S. or its possessions, and any foreign national. Therefore, firms organized under the laws of the United States, regardless of potential foreign ownership can receive contracts requiring access to U-NNPI, if the firm formally agrees to protect the information.

- e. Representative of a Foreign Interest - For the purposes of safeguarding NNPI, a representative of a foreign interest is any person, regardless of citizenship, functioning (in an individual capacity or on behalf of any corporation, person or government entity) as an official, representative, agent or full-time employee of a foreign interest. One exception is that U. S. citizens appointed by their U. S. employer to act as a representative in the management of a foreign subsidiary of a U. S. corporation will not be considered representatives of a foreign interest.
- f. Casual Visual Access - This is defined as access provided by being in the same general area of an item, but not having the item pointed out or having any specific information provided on the item. A casual visual access determination requires that there be no distinguishing markings or labels visible that tie the item to the Naval Nuclear Propulsion Program.
- g. Detailed Visual Access - This is defined as the ability to touch or closely examine an item or obtain detailed information based on close inspection. Unescorted access allows detailed visual access.

## 11.2 General Notes

- a. This guide has been prepared to assist in identifying and protecting unclassified Naval Nuclear Propulsion Information.

This document provides standard guidance to aid in the identification of unclassified Navy Nuclear Propulsion Information, and contains information extracted from the DOE-DOD Classification Guide for the Naval Nuclear Propulsion Program (CG-RN-1). CG-RN-1 and DOE Order 5630.8A provide guidance for the classification of information as well as the identification of Navy Nuclear Propulsion Information. Since the document herein has been prepared for use in unclassified procurements, references to Confidential Restricted Data (CRD) and Confidential National Security Information (CNSI) have been omitted from the topics extracted from CG-RN-1. Such topics are specifically identified in the REMARKS column.

This document is the only guidance that will normally be supplied with an unclassified procurement which involves U-NNPI. In the case of a classified procurement that involves U-NNPI, this document will be used to provide the guidelines for protecting U-NNPI, and the request for facility approval (PNR/SNR F5632.1) or DD-254 will provide the additional specific guidance for classification decisions. The Seller is cautioned that guidance furnished for a specific procurement may not be appropriate for use in other procurements. To use guidance in such a manner could result in a security infraction.

- b. The purpose of these requirements is to give an added measure of protection to prevent unauthorized disclosure of Naval Nuclear Propulsion Information which would assist other nations in the application of nuclear propulsion to naval vessels (Reference Attachment 3, Admiral Kinnaid R. McKee Letter, dated 11/5/87).

- c. Legend of Information Designations

Unclassified	U	As used in this guide, this designation indicates this information may be releasable to the general public with the prior approval of Bettis and the Government.
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Unclassified-Naval Nuclear Propulsion Information	U-NNPI	As used in this guide, this designation indicates that although the information is unclassified, it is subject to special handling controls, restricted access and distribution (export controls), and marking requirements implemented throughout the Naval Nuclear Propulsion Program.
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Unclassified Controlled Nuclear    UCNI  
Information

As used in this guide, this designation (UCNI) indicates that this information is subject to special handling control, restricted distribution, and marking requirements.

- d. Vendors that require access to U-NNPI documents will be required by Bettis to properly execute a U-NNPI Five Year Agreement (Attachment 4) which provides certification by the vendor that it will protect U-NNPI in accordance with the requirements contained herein. The U-NNPI Vendor Certification Form will be returned to the cognizant Bettis Buyer.
- e. The Seller shall insert the provisions of this document as appropriate in all classified or unclassified subcontracts that involve access to Naval Nuclear Propulsion Information. This includes compliance with DD Form 2345 as noted in item d.2 above. Further, a copy of the U-NNPI Five Year Agreement (reference d.1 above) must be completed by any such lower-tier supplier and returned to the Seller, prior to transmittal of related U-NNPI information. Under no circumstances shall U-NNPI information be transmitted to any lower-tier supplier owned or controlled by a foreign national or to any foreign national employed by a lower-tier supplier. The Seller is responsible to assure that all lower-tier vendors adhere to the requirements for protection of U-NNPI.

### 11.3 Disclosure Policy

Since the naval nuclear propulsion program and naval nuclear powered ships are of critical importance to the defense of the United States, the technology used to design, build, and support these ships is an obvious target for hostile intelligence organizations. Thus, it is important that special care be taken to avoid unauthorized access to NNPI which would facilitate the success of hostile intelligence collection efforts.

#### a. General

Naval Nuclear Propulsion Information (NNPI) shall not be disclosed in any manner which will result in direct or indirect release to the public or foreign nationals. Access to NNPI shall be limited to those individuals who have an established need-to-know and require access to complete their officially assigned responsibilities under this contract. The Seller personnel shall caution authorized recipients of any NNPI against release of this information to the public, or foreign nationals, or to any other foreign interests. Control of the access to NNPI by Government personnel or contractor personnel and release of records and documents containing NNPI shall be consistent with the general policy of DOE Order 471.2, NAVSEA instruction, and this document.

The fact that some documents or data issued to activities or individuals not involved in the Naval Nuclear Propulsion Program prior to the effective date of this revision may be unclassified, does not mean that they may be released without the disclosure restrictions contained herein. Such future release outside the Naval Nuclear Propulsion Program of information previously unclassified constitutes an updating of the information and must be governed by the provisions of this guidance.

Items listed as NNPI in contract requirements are in fact NNPI only when they are directly identified to the Naval Nuclear Propulsion Program. Identification may occur through the use of any reference that directly identifies the item with the Naval Nuclear Propulsion Program, such as project designators, ship system identification, or a specific nuclear system component.

Whenever possible, general information such as procedures, sketches, drawings, etc., should not be annotated in any manner which would directly disclose its association with the Naval Nuclear Propulsion Program. However, where this cannot be accomplished within practical limits, access to such NNPI shall be controlled as noted herein.

The following three items are examples of uses of information that are not considered as direct identification with the Naval Nuclear Propulsion Program:

- (1) Reference to any Naval Nuclear Prime Contractor by full name or abbreviation is not considered to be direct identification with the Naval Nuclear Propulsion Program.
- (2) Reference to Naval Nuclear Propulsion Program documents such as QRC-82, NAVSEA 250-1500-1, MIL-C-23200, the Buyer's equipment specifications, or Seller-generated NNPI items is not considered to be direct identification with the Naval Nuclear Propulsion Program.
- (3) Traceability to the Naval Nuclear Propulsion Program via intermediate documents, such as use of shop order coded numbers, is not considered to be direct identification with the Naval Nuclear Propulsion Program. Common informal knowledge that a particular shop order applies to a Naval Nuclear Propulsion Program project when associated with an item is not considered to be direct identification with the Naval Nuclear Propulsion Program.

Where the contract requirements identify unclassified component subassemblies and parts to be U-NNPI, these shall be treated as U-NNPI when they are directly identifiable to the Naval Nuclear Propulsion Program. If unclassified and not directly identifiable by contract requirements to the Naval Nuclear Propulsion Program, such subassemblies and parts may be handled on an unclassified basis within the Seller's facility as well as with a subtier supplier.

Where the contract requirements identify part and major subassembly drawings to be U-NNPI, these shall be treated as U-NNPI when they are directly identifiable to the Naval Nuclear Propulsion Program. If unclassified and not directly identifiable by contract requirements to the Naval Nuclear Propulsion Program, such drawings may be handled on an unclassified basis within the Seller's facility as well as with a sub-tier supplier.

NNPI, classified or unclassified, shall not be released to individuals other than those authorized to receive NNPI in the execution of their responsibilities. This restriction also applies to release of NNPI to personnel in the Executive Branch of the U. S. Government. Release of NNPI to persons within the Executive Branch of the U. S. Government also requires Bettis approval.

Release to a subtier supplier, who has contracted to furnish component parts or to work on the component, is considered to be a release that is authorized, provided that the authorized recipient is cautioned on the requirements that apply by disseminating the disclosure restrictions contained herein. It is noted that if the material furnished to a subtier supplier is U-NNPI and handled on an unclassified basis without the dissemination of the NNPI disclosure restrictions identified herein, the Seller shall obtain approval of the Buyer for the release of NNPI prior to authorizing the release.

Extreme care shall be exercised by Seller personnel involved in any formal or informal technical exchanges involving NNPI. Particular attention shall be directed to minimizing the release of any technical details. Whenever exchanges, other than permitted above, are authorized and involve the release of technical documents, the following statement must be displayed on the front sheet or page:

"This document may not be further distributed by (name of recipient, either individual or company) without the prior written approval of (name of Seller). Distribution to U.S. nationals representing foreign interests, foreign nationals, foreign governments, foreign companies, and foreign subsidiaries, or foreign divisions of U.S. companies is specifically prohibited."

b. Control of Public Release of NNPI

General procurement terms and conditions, DOE documents, and other sections of this document prohibit the direct release of NNPI to the public since public release is tantamount to foreign disclosure. Any proposed public release which may contain NNPI must be submitted to Bettis

Purchasing for review and if suitable, for release authority. If an association with naval nuclear propulsion can be identified from the information for public release, the designation of the information as NNPI is mandatory. Borderline items shall be considered as NNPI pending review and/or clarification. The release of NNPI through any public medium is prohibited.

c. Control of Visitors

The General Provisions Article on control of visitors applies to NNPI and any approved visit is subject to the access to NNPI controls of Section 11.6.

Uncleared visitors shall not be permitted access to classified NNPI. Access to unclassified NNPI by uncleared personnel shall be based on a valid need-to-know. Unclassified NNPI information shall be afforded appropriate controls so that individuals without a valid need-to-know cannot obtain visual or physical access which would permit detailed examination. Identify the controls in place to protect NNPI information during visits by uncleared personnel. This section should identify how classified NNPI matter will be removed, stored, or covered to preclude any uncleared person from accessing the information. Any exceptions to this plan once approved requires the approval of DOE.

Foreign nationals shall not be permitted access to classified or unclassified NNPI. Foreign national visitors should not be permitted access to areas of the facility used for NNPP work or storage. Identify the controls in place to protect NNPI information during visits by foreign nationals. The security plan should identify how the NNPI matter will be removed, stored, or covered to protect the NNPI from disclosure. The security plan should specify each NNPI area to be visited. Notification of visits by foreign nationals to areas used for NNPP work or storage should be made in advance when the facility has advance notification. If no advance notice is given, notification should be made immediately after the visit. Notification of visits by foreign nationals to areas not used for NNPP work or storage are not required, but the names, dates of birth, nationality, job title, company affiliation, purpose of visit, area visited, dates of visit and scope of visit of each foreign national visitor should be reported weekly.

11.4 Special Handling Markings

It should be noted that other separate documentation may make mandatory the marking of certain categories of documents containing NNPI. In the absence of specifically imposed requirements, marking of unclassified NNPI as indicated in this section is required; however, photographs of NNPI must be marked as covered in Section 11.8.

The disclosure restrictions for controlling the dissemination of NNPI shall be complied with even though some documents containing NNPI are not marked.

Both of the following special handling markings (warning notations) must be used on documents containing unclassified Naval Nuclear Propulsion Information (NNPI) to assist activities in controlling this information:

- a. NOFORN (Place this marking at the top and bottom of all pages of the document.)
- b. NOFORN: This document is subject to special export controls and each transmittal to foreign governments or foreign nationals may be made only with the prior approval of Naval Sea Systems Command. (This warning notice is placed on the first page of text [and the cover and title page if one is used] of any NNPI document marked as NOFORN.)

11.5 Disposal of Unclassified NNPI

Disposal methods for unclassified documents containing NNPI shall ensure that the information is not easily retrievable. Disposal by recycling is preferred. Recycling is authorized provided the documents are shredded to a 2" or less width. Other disposal methods may include commercial or public trash collection arrangements, provided the method used affords reasonable protection against unauthorized diversion or recovery of the documents concerned. Documents can also be disposed of in the same manner as classified documents.

As an alternate means, unclassified NNPI may be discarded in a sanitary landfill where after each day's trash is dumped, Environmental Protection Agency regulations require that the material be covered over by dirt. When disposal by these methods is not feasible, the activity concerned is responsible for devising an alternate method which will provide an adequate degree of control during and after disposal. Bettis' prior concurrence must be obtained for any other alternate arrangements.

Prior to disposal of nuclear propulsion plant components, equipment, parts and material, which contain NNPI or indicate application to nuclear propulsion, all markings (such as stock number, nameplate data, Special Material Identification Code (SMIC), tags, stickers, transfer documents, meter face markings, etc.) which relate the material to nuclear propulsion must be removed or obliterated. If after removal or obliteration of such markings, unclassified material still contains NNPI, the material shall be disposed of in the same manner as classified material, that is, by a destruction method which prevents later recognition or reconstruction of either the NNPI or the classified information. Specific additional details for disposal of naval nuclear propulsion plant hardware are contained in DOE Order 5630.8A which is to be consulted when disposing of hardware.

#### **11.6 Control of Access to NNPI**

Access to unclassified NNPI shall be controlled so that those not having a need-to-know are prevented from visual or physical access which would permit detailed examination. Casual visual observation (under circumstances precluding detailed examination) of working documents, or of component parts, which are designated as NNPI, by the Seller shop or professional personnel is not considered to be detailed visual or physical access.

When in use by authorized personnel, U-NNPI working documents are considered to be under the direct custody of the authorized individual who must exercise the protection needed to prevent detailed visual or physical access by other Seller shop or professional personnel who have no need to know.

When not in use, one or a combination of the following is required;

- a. Access to documents containing U-NNPI in uncleared areas may be controlled by placing the documents in a locked repository (desk, file, or bookcase) or in a locked office. This method is required in uncleared office areas where professionals are responsible for the preparation and use of such information and in shop areas as well.
- b. Access to documents containing U-NNPI or access to the component or component parts in shop areas should be controlled through shop practices that limit access of shop personnel to those who are authorized. Surveillance conducted by shop supervision or by plant guards who routinely check that only authorized personnel are in the work areas constitutes the minimum control required to prevent detailed visual or physical access by those who have no need to know.
- c. In the event that a visit by personnel who are not authorized to see U-NNPI (e.g., foreign nationals) has been approved, proper precautions shall be taken to prevent the release of unclassified NNPI. This would require that such visitors be under escort at all times and, where practical, components or component parts that are in the area of the visit should be moved out of the area. Where removal is not practical, they shall be screened or covered from view, as appropriate.

#### **11.7 Transmittal and Shipment of U-NNPI**

Documents containing U-NNPI (even if not marked with a warning notice) shall be transmitted in a single opaque envelope to those authorized to receive U-NNPI. The outer wrapping or envelope shall not be marked in a manner that would reveal the contents of the envelope to unauthorized personnel. Components that are designated as U-NNPI shall be shipped in a sealed opaque container (where size permits) or shall be covered using a tarpaulin or other approved means so that the component is screened from view during shipment. U-NNPI may be transmitted to authorized recipients using non-secure communications equipment (telephones, facsimile, etc.) as needs dictate, provided either an authorized person is present to accept the transmittal, or security arrangements at the receiving facility are sufficient to preclude unauthorized access to the transmittal material.

11.8 Photographs

Unclassified photographs which reveal NNPI shall be marked with one of the special handling markings in Section 11.4. All photographs which contain NNPI shall be subject to all of the disclosure restrictions of this instruction. In addition, these photographs may be made accessible only to those individuals having an official need for such access in work directly related to Navy nuclear-powered plant systems, components, and supporting equipment.

NNPI photographs shall be disposed of in the same manner as classified documents. If the Seller has no such facilities, NNPI photographs shall be returned to the Buyer for proper disposal.

11.9 Closeout of U-NNPI

An unsuccessful offeror, or a vendor upon successful completion of an order, must provide the Buyer with a letter stating that the U-NNPI matter was returned or destroyed.

11.10 Guidance for Identifying Unclassified Naval Nuclear Propulsion Information

a. Commercially Available Components or Equipment

Generally, the direct association of any commercially available "off the shelf" component or equipment item with the Navy Nuclear Propulsion Program is considered to be Naval Nuclear Propulsion Information.

However, components or equipment that do not reveal sensitive information are not NNPI. Components or equipment that meet the following criteria do not reveal sensitive information:

- (1) The component or equipment is commercially available "off-the-shelf," or
- (2) the component or equipment is an individual piece part such as a fastener, handwheel, gasket, packing, valve stem and electrical part (resistors, capacitors, semiconductors, switches, relays, contractors, etc.), or
- (3) the component or equipment is militarily-qualified and used in (or is technically equivalent to a military-qualified) component used in Navy applications outside nuclear propulsion plants (e.g., secondary plant valves, circuit boards, circuit breakers, controllers, etc.)

The above criteria for determining whether a component or equipment is NNPI govern even if a direct association is made with a specific system in a specific ship, plant or project.

b. Supplemental Guidance

***The supplemental to Form 74117 entitled TOPICAL GUIDANCE ON UNCLASSIFIED NAVAL NUCLEAR PROPULSION INFORMATION is provided for use by the Seller on procurements involving classified or unclassified NNPI. Notations indicate topical areas which could include access to or generation of classified matter. In those situations additional guidance may be supplied on the procurement.***

<b>PERSONNEL SECURITY CLEARANCE CHANGE NOTIFICATION</b>				FORM APPROVED: OMB No.: 0704-0275 EXP. DATE: OCTOBER 31, 1998	
PUBLIC REPORTING BURDEN FOR THIS COLLECTION OF INFORMATION IS ESTIMATED TO AVERAGE 2 HOURS PER RESPONSE, INCLUDING THE TIME FOR REVIEWING INSTRUCTIONS, SEARCHING EXISTING DATA SOURCES, GATHERING AND MAINTAINING THE DATA NEEDED AND COMPLETING AND REVIEWING THE COLLECTION OF INFORMATION. SEND COMMENTS REGARDING THIS BURDEN ESTIMATE OR ANY OTHER ASPECT OF THIS COLLECTION OF INFORMATION INCLUDING SUGGESTIONS FOR REDUCING THIS BURDEN, TO WASHINGTON HEADQUARTERS SERVICES, DIRECTORATE FOR INFORMATION OPERATIONS AND REPORTS, 1215 JEFFERSON DAVIS HIGHWAY, SUITE 1204, ARLINGTON, VIRGINIA 22202-4302; AND TO THE OFFICE OF INFORMATION AND REGULATORY AFFAIRS, OFFICE OF MANAGEMENT AND BUDGET, PAPERWORK REDUCTION PROJECT (0704-0275), WASHINGTON, DC 20503. SEND YOUR COMPLETED FORM TO DEFENSE INDUSTRIAL SECURITY CLEARANCE OFFICE (DISCO).					
<b>1. TYPE OF ACTION ("X" APPROPRIATE ACTION BOX AND SEE INSTRUCTIONS BELOW FOR BOX C, D, G, J, K, L, AND O)</b>					
<input type="checkbox"/> <b>A. CONCURRENT</b> <small>(Complete Item 13 below)</small>		<input type="checkbox"/> <b>B. CONVERSION</b> <small>(Complete Item 13 &amp; 14 below)</small>		<input type="checkbox"/> <b>C. REINSTATEMENT</b> <small>(Complete Item 13 below)</small>	
<input type="checkbox"/> <b>D. MULTIPLE FACILITY TRANSFER</b> <small>(Complete Item 13 &amp; Refer to Item 15 below)</small>		<input type="checkbox"/> <b>E. ADMINISTRATIVE TERMINATION</b>		<input type="checkbox"/> <b>F. ASSIGNED OVERSEAS</b>	
<input type="checkbox"/> <b>G. CITIZENSHIP CHANGE</b> <small>(Refer to Item 13 below)</small>		<input type="checkbox"/> <b>H. CORRECTION OF DATE AND PLACE OF BIRTH</b>		<input type="checkbox"/> <b>I. DOWNGRADE</b>	
<input type="checkbox"/> <b>J. EMPLOYMENT TERMINATION</b> <small>(Complete Item 3 below)</small>		<input type="checkbox"/> <b>K. MARITAL STATUS CHANGE</b>		<input type="checkbox"/> <b>L. NAME CHANGE</b>	
<input type="checkbox"/> <b>M. REQUEST FOR DUPLICATE LETTER OF CONSENT</b>		<input type="checkbox"/> <b>N. RETURN FROM OVERSEAS</b>		<input type="checkbox"/> <b>O. SSN CORRECTION</b>	
<input type="checkbox"/> <b>P. STATUS CHANGE TO</b> <small>(Circle one) <small>(Key Management Personnel (KMP) - Consultant - Employee)</small></small>		<input type="checkbox"/> <b>Q. UPGRADE</b>		<input type="checkbox"/> <b>R. OTHER:</b>	
<b>2. EFFECTIVE DATE OF ACTIONS (Excluding Actions A, B, C, H, M, O):</b>					
<b>3. TERMINATION REQUEST FOR</b> <small>(Complete if Item 1J, above, is marked)</small>			<input type="checkbox"/> <b>ACTIVE CLEARANCE</b>		<input type="checkbox"/> <b>PENDING CLEARANCE</b>
<b>4. NAME, ADDRESS, AND ZIP CODE OF EMPLOYER:</b>			<b>4a. CAGE CODE:</b>		
			<b>4b. TELEPHONE NO.</b> <small>(include area code):</small>		
<b>5. NAME OF EMPLOYEE</b> <small>(Last, First, Middle Initial):</small>			<b>6. ALIAS, MAIDEN OR OTHER NAMES USED:</b>		
<b>7. DATE OF BIRTH:</b>	<b>8. PLACE OF BIRTH</b> <small>(City, State):</small>	<b>9. CITIZEN OF</b> <small>(Country):</small>		<b>10. SOCIAL SECURITY NUMBER:</b>	
<b>11. STATUS OF EMPLOYEE</b> <small>(Check One)</small>		<input type="checkbox"/> <b>CONTRACTOR EMPLOYEE</b>		<input type="checkbox"/> <b>KMP</b>	
		<input type="checkbox"/> <b>CONSULTANT</b>			
<b>12. LEVEL OF CLEARANCE REQUESTED</b> <small>(if applicable):</small>					
<b>13. CLEARANCE INFORMATION INCLUDING COMPANY CONFIDENTIAL CLEARANCE</b>			<input type="checkbox"/> <b>CURRENT</b>		<input type="checkbox"/> <b>PENDING</b>
			<input type="checkbox"/> <b>PRIOR</b> <small>(within 24 months)</small>		<input type="checkbox"/> <b>NONE</b>
<b>13a. LEVEL OF CLEARANCE:</b>		<b>13b. DATE OF CLEARANCE:</b>		<b>13c. CLEARANCE BY:</b>	
<b>14. CONVERSION INFORMATION - LIST: SEPARATION DATE, VERIFYING AGENCY, NAME &amp; ADDRESS, OR ATTACH DD214/SF50 (IF NOT AN HONORABLE DISCHARGE, EXPLAIN IN ITEM 15).</b>					
<b>15. REMARKS: GIVE APPROPRIATE INFORMATION. FOR ITEM 1C PROVIDE ADVERSE INFORMATION BELOW OR BY ATTACHED LETTER, IF NOT PREVIOUSLY SUBMITTED. FOR ITEM 1D, PROVIDE NAME, ADDRESS, AND CAGE CODE OF FACILITY TO WHICH TRANSFERRED. ITEM 1G, PROVIDE CERTIFICATE NUMBER, DATE, CITY, COUNTY AND STATE OF NATURALIZATION, AND NAME OF COURT. ITEM 1J, IF DEATH HAS OCCURRED, STATE "DECEASED" AND PROVIDE DATE OF DEATH. ITEM 1K, PROVIDE NAME OF NEW SPOUSE OR EX-SPOUSE AND DATE OF MARRIAGE OR DIVORCE. ITEM 1L, PROVIDE NEW NAME OF EMPLOYEE IN ORDER OF LAST NAME, FIRST NAME, MIDDLE NAME. ITEM 1O, PLACE INCORRECT SSN IN REMARKS (CORRECT SSN IN ITEM 10).</b>					
<b>16. I CERTIFY THAT THE ENTRIES MADE ABOVE ARE TRUE, COMPLETE, AND CORRECT TO THE BEST OF MY KNOWLEDGE AND BELIEF.</b>					
<b>16a. SIGNATURE AND TYPED NAME OF FACILITY SECURITY OFFICER:</b>				<b>16b. DATE:</b>	

**DOE F 5631.29**  
(10/92)  
All Other Editions Are Obsolete

OMB Control No.  
1910-1800  
OMB Burden  
Disclosure Statement  
Below

\_\_\_\_\_  
(Facility or Installation Where Terminated)

**U. S. Department of Energy**

**SECURITY TERMINATION STATEMENT**

NAME AND TITLE (Print all blocks)	EMPLOYER YOU ARE LEAVING
FUTURE RESIDENCE	NAME AND ADDRESS OF FUTURE EMPLOYER
REASON FOR TERMINATION	
SOCIAL SECURITY NUMBER	DATE OF BIRTH
DATE OF TERMINATION	DOE NUMBER (IF KNOWN)

I make the following statement in connection with the forthcoming termination of my access authorization (security clearance) granted by the U.S. Department of Energy (DOE).

1. In accordance with DOE security regulations, I have destroyed or transferred to persons designated by the DOE all classified documents and material for which I was charged or which I had in my possession.
2. I have returned to a DOE official or person acting for the DOE all security badges, credentials, or other identification or access media issued to me by the DOE or its contractors.
3. I will not reveal to any person any Restricted Data, Formerly Restricted Data, or other classified information of which I have gained knowledge except as authorized by law, regulations of the DOE, or in writing by officials of the DOE empowered to grant permission for such enclosure.
4. I will immediately report the Federal Bureau of Investigation (FBI) any attempt by an unauthorized individual to acquire classified information from me.
5. I am aware that the Atomic Energy Act of 1954 and U.S. Code, Title 18 "Crimes and Criminal Procedures," prescribe penalties for unauthorized disclosure of Restricted Data, Formerly Restricted Data, and other information relating to the national defense.
6. I am aware that I may be subject to criminal penalties if I have made any statement of material facts knowing that such statement is false or if I willfully conceal any material fact (Title 18, U.S. Code, Section 1001).

\_\_\_\_\_  
(Signature of Person Conducting Interview)

\_\_\_\_\_  
(Signature of Person Whose Access  
Authorization is Being Terminated)

\_\_\_\_\_  
(Title of Position)

\_\_\_\_\_  
(Date)

**See Reverse for Privacy Act Statement.**

**Attachment No. 2 to  
FORM 74117  
3/01**

**DOE F 5631.29**  
(10/92)  
All Other Editions Are Obsolete

OMB Control No.  
1910-1800

**PRIVACY ACT STATEMENT**

Collection of the information requested is authorized by the Atomic Energy Act of 1954, as amended, and by Executive Orders 10450, 10865, and 12356.

Disclosure of the information on this form is voluntary; however, your decision not to complete this form could result in a delay in processing any future request for reinstatement of your U.S. Department of Energy (DOE) access

Authorization (security clearance). Your DOE access authorization can be terminated regardless of whether this form is completed. Your name, Social Security Number, and date of birth are used as identifying factors to establish and maintain records of DOE access authorization actions in the DOE System of Records, DOE-42, "Personnel Security Clearance Index," and this form will be maintained in your DOE Personnel Security File (DOE System of Record, DOE-43, "Personnel Security Clearance Files"). Access to these records is permitted as stipulated in DOE 5631.2, "Personnel Security Program," and as listed in Routine Uses in Appendix B to the DOE System of Records.

**OMB BURDEN DISCLOSURE STATEMENT**

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management, AD-241.2 – GTN, Paperwork Reduction Project (1910-1800), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, D.C. 20585; and to the Office of Management and Budget, Paperwork Reduction Project (1910-1800), Washington, D.C. 20503.

Department of Energy  
Washington, D.C. 20585

November 5, 1987

MEMORANDUM FOR DISTRIBUTION

SUBJ: CONTRACTOR WORK FOR FOREIGN NUCLEAR PROPULSION PROGRAM

1. The Government of Canada is pursuing acquisition of nuclear powered submarines. The U.K., which already builds such submarines, is seeking U.S. sources for some propulsion plant components. In addition, other foreign countries have expressed interest in building nuclear powered submarines or in acquiring the necessary equipment and technology from U.S. sources. Since there is a limited number of firms who have naval nuclear propulsion expertise, our contractors or subcontractors may be receiving inquiries from foreign firms or U.S. sources representing foreign interests.

2. For these reasons, it is important that all contractors who supply equipment to the U.S. Naval Nuclear Propulsion Program clearly understand their responsibilities under federal law and their contracts concerning doing such business with foreign interests. To accomplish this, the following considerations should be conveyed to each program prime contractor and passed down to subtier levels to succinctly describe U.S. policy and regulations on these matters, consistent with the "Transmission Abroad" clause and similar clauses already included as mandatory passdown provisions in contracts.

a. U.S. policy prohibits cooperation in foreign nuclear propulsion activities unless there is an appropriate government-to-government agreement for such cooperation, and the U.S. government has given specific assent on a case by case basis.

b. In particular, access to U.S. Naval Nuclear Propulsion Information (NNPI) by foreign interests or anyone representing foreign interests requires U.S. government approval, and access to authorized personnel is on a need-to-know basis only. The basis for this requirement are the Atomic Energy Act of 1954 (as amended), the Arms Export Control Act (as amended), and the Export Administration Act (as amended). Two key facets apply. First, the requirement covers access to NNPI in any form, such as NOFORN documents (e.g. drawings, specifications and standards) and the equipment built to those documents. Second, it serves as the basis for requiring access controls (for employees and visitors) over areas doing naval nuclear propulsion work to assure compliance with the need-to-know principle.

c. It is important to understand that, irrespective of whether information or equipment is U.S. NNPI, or whether a company is doing business with the U.S. Naval Nuclear Propulsion Program, federal law prohibits supplying nuclear propulsion plant components or material to foreign interests without an approved export license under the International Traffic in Arms requirements (see 22 CFR 121) and the Commodity Control List (see

15 CFR 378 and 379). The requirements pertaining to export of sensitive nuclear technology (see 10 CFR 810) may also apply depending upon the equipment at issue.

3. To reemphasize the above requirements, this letter should be supplied to each program prime contractor by the cognizant field office and SUPSHIPS. NRRO SPCC Mechanicsburg should provide this to SPCC. Each prime contractor should be requested to apprise their subtiers, and a copy of this letter should be forwarded with such notification to major suppliers.

4. Each contractor and subtier should be asked to inform the contracting officer if they receive inquiries from any foreign or Domestic source concerning providing information or producing components or material to be used for foreign nuclear propulsion purposes. This notification is intended to ensure the issue is properly dealt with on a government-to-government basis. It Should not be construed as relieving contractors or Subcontractors of any notice requirements or obligations contained in the above cited regulations, or construed as approval for an export license which might be subsequently requested, nor interpreted as a substitute for required export licenses.

Original signed by  
Kinnaird R. McKee

KINNAIRD R. MCKEE  
Admiral, U.S. Navy  
Director, Naval Nuclear  
Propulsion Program

**FIVE YEAR AGREEMENT FOR PROTECTION OF UNCLASSIFIED  
NAVAL NUCLEAR PROPULSION INFORMATION (U-NNPI)**

**Definition of Naval Nuclear Propulsion Information (NNPI)**

Naval Nuclear Propulsion Information is all information, classified or unclassified, concerning the design, arrangement, development, manufacture, testing, operation, administration, training, maintenance, and repair of the propulsion plants of naval nuclear-powered ships and prototypes including the associated nuclear support facilities.

As a condition to receiving sensitive information on a need-to-know basis, and in consideration of 18USC841, 18USC793, and 18USC794, the undersigned hereby agrees that when provided documents (specifications, drawings, etc.), which are marked as containing U-NNPI that must be controlled pursuant to federal law, the information contained therein and generated as part of the inquiry or purchase order shall be used only for the purpose of preparing the proposal or performance of work under a resulting purchase order, and shall in no case be transmitted outside the company (unless such transmittals comply with the detailed guidance provided as part of the proposal instructions and as detailed below) or to any foreign national within the company. While in use, the documents shall be protected from unauthorized observation and shall be kept secure so as to preclude access by persons who do not have a legitimate need to view them. The documents shall not be copied unless done in conformance with the detailed guidance provided as part of inquiry and/or purchase order. Following notification of an unsuccessful proposal, or if the offeror declines to bid, or upon order completion, all documents containing unclassified Naval Nuclear Propulsion Information shall either be promptly destroyed as classified information (as detailed in the vendor's facility security plan approved by Bettis) if practical, or if not, the vendor may discard the U-NNPI material in a sanitary landfill where after each day's trash is dumped, Environmental Protection Agency regulations require that the material be covered over by dirt. Bettis' prior concurrence must be obtained for any other alternate arrangements.

**Note:** In the event it is necessary to transmit U-NNPI information to a prospective or actual lower-tier supplier, all U-NNPI requirements applicable to this inquiry or resulting order shall also apply to any such lower-tier supplier. Further, a copy of this agreement form must be completed by any such lower-tier supplier and returned to the below listed company, prior to transmittal of related U-NNPI information. Under no circumstances shall U-NNPI information be transmitted to any lower-tier supplier owned or controlled by a foreign national or to any foreign national employed by a lower-tier supplier. The undersigned is responsible to assure that all lower-tier vendors adhere to the requirements for protection of U-NNPI.

**BY SIGNING THIS AGREEMENT, THE BELOW LISTED COMPANY CERTIFIES TO THE ABOVE PROVISIONS WITH RESPECT TO THE PROTECTION OF U-NNPI AND THAT THE CERTIFICATIONS ARE ACCURATE AND CURRENT.**

AUTHORIZED COMPANY SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

COMPANY NAME \_\_\_\_\_ TITLE \_\_\_\_\_

COMPANY ADDRESS \_\_\_\_\_

\_\_\_\_\_ PHONE NO. \_\_\_\_\_

*Note that this Certification Form expires five years from the date this form is executed.*  
**RETURN FORM TO BUYER**

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**FOREIGN OWNERSHIP, CONTROL, OR INFLUENCE OVER CONTRACTOR (REPRESENTATION)**

**I. PRIOR TO SUBMITTING A FOCI SUBMISSION, THE OFFEROR SHOULD REVIEW THE FOCI SUBMISSION TO ENSURE THAT:**

- (1) If the offeror is owned by a parent organization(s), the FOCI representations and certification have been attached for all parents, i.e., ultimate parent and any intervening levels of ownership. Each certification must be signed and dated by an authorized official of the respective organization. Additionally, provide an organization chart, which clearly shows the relationship between the Offeror, any intervening levels of ownership, and the ultimate parent organization.
- (2) The offeror is to provide a copy of SEC Form 13D or 13G, if such a form was filed.
- (3) If the offeror answers yes to any question, then all the blanks associated with that question must be completed. If they are not applicable, type "NA". If the offeror answers no to the question, then the associated blanks need not be completed.
- (4) If the offeror is a publicly traded company or a subsidiary of another corporation, the contractor and all parents have attached the following information in addition to the executed FOCI representations and certification:
  - (a) the ultimate parent has submitted its most recent Annual Report, most recent Proxy Statement for its annual meeting of stockholders and its Securities and Exchange Commission 10-K Report.
  - (b) subsidiaries have submitted separate consolidated financial information for their organization and all their wholly-owned and/or majority-owned subsidiaries and affiliates.
  - (c) the offeror and all parents have submitted a list of their organization's officers, directors, and executive personnel (OODEP List), to include their names; social security numbers; citizenship; titles of all positions they hold within the organization; and what clearances, if any, they possess or are in the process of obtaining and identification of the government agency(ies) that granted or will be granting those clearances. (Refer to Attachment 6, page 11.)
- (5) If the offeror is a privately owned company, the following information has been attached:
  - (a) consolidated financial information for their organization and all their wholly-owned or majority-owned subsidiaries and affiliates.
  - (b) a list identifying the organization's owners, officers, directors, and executive personnel (OODEP List), including their names; social security numbers; citizenship; titles of all positions they hold within the organization; and what clearances, if any, they possess or are in the process of obtaining and identification of the government agency(ies) that granted or will be granting those clearances. (Refer to Attachment 6, page 11.)

Note: If any of these documents are missing, the contracting officer cannot complete award of the contract.

- (6) Note that separate FOCI submittals shall be completed by the bidder or vendor (if a separate legal entity) and each parent corporation(s) in those cases where the bidder or vendor is owned by another company or controlled by a parent organization.
- (7) Offerors, and if applicable, parent organizations, who possess a favorable FOCI determination are required to submit a complete FOCI Representation to the Lead Responsible Office when five years have elapsed since the previously provided FOCI Representation.
- (8) When changes have occurred in the extent and nature of a FOCI which effect the information in a company's and/or any tier parents' most recent FOCI submission(s), the company/parent should immediately provide written notification and supporting documentation relevant to the changes. The company should notify Buyer of the following changes:
  1. Ownership or control, i.e., any change in the company's OODEP's and/or a relevant change in the nature of FOCI has occurred.

2. Structure of the company and any tier parents.
3. Name and address of the company and any tier parents.
4. Any change in foreign involvement.

Written notification of anticipated changes that include, but are not limited to, the following:

1. Action to eliminate the company's organization or any of its parents for any reason, e.g., entering into any transaction of merger, consolidation or amalgamation with another company, conveying, selling, leasing, transferring or otherwise disposing of all or a substantial part of its business or assets; making any material change which could have an adverse effect on the company's ability to perform their contractual obligations for DOE or other contractors of DOE.
2. Imminent adjudication of or reorganization in bankruptcy of the company's organization of any of its tier parents.
3. Discussions or consultations with foreign persons that may reasonably be expected to lead to the introduction or increase of FOCI.

II. COMPANY NAME AND ADDRESS

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Type of Business \_\_\_\_\_

Check any block below which applies to your company:

- |  |  |
|--|--|
| <input type="checkbox"/> Corporation             | <input type="checkbox"/> Sole Proprietorship   |
| <input type="checkbox"/> Public Company          | <input type="checkbox"/> Branch Location       |
| <input type="checkbox"/> Privately Owned Company | <input type="checkbox"/> Parent Company        |
| <input type="checkbox"/> Subsidiary              | <input type="checkbox"/> Headquarters Location |
| <input type="checkbox"/> Partnership             | <input type="checkbox"/> Other (identify)      |

Company Total Assets \_\_\_\_\_

Consolidated Foreign Indebtedness \_\_\_\_\_

Company Total Liabilities \_\_\_\_\_

Total Foreign Sales \_\_\_\_\_

Company Annual Sales \_\_\_\_\_

Parent/Holding Companies (Provide separate FOCI information for each)

<u>Name</u>	<u>Address</u>
_____	_____
_____	_____
_____	_____

III. DEFINITIONS FOR COMPLETION OF THE CERTIFICATE PERTAINING TO FOREIGN INTERESTS

**Affiliate** - Any entity effectively owned or controlled by another entity.

**Beneficial Owner** - The true owner of a security who may, for convenience, be recorded under the name of a nominee. Such ownership entitles the owner to the power to vote or direct the voting of a security or to impose or direct the disposition of a security.

**Bond** - A certificate which is evidence of a debt in which the issuer promises to repay a specific amount of money to the bondholder, plus a certain amount of interest, within a fixed period of time.

**Convertible Debentures** - Bonds which the holder can exchange for shares of voting stock.

**Covenant** - A detailed clause in a lending agreement designed to protect the lender.

**Debenture** - A general debt unsecured by a pledge of any specific piece of property. Like any other general creditor claims, a debenture is secured by any property not otherwise pledged.

**Debt-to-Equity Ratio** - Total liabilities divided by total shareholders' equity (total assets minus total liabilities of a corporation; also called stockholders' equity, equity, and net worth). This shows to what extent owners' equity can cushion creditors' claims in the event of liquidation.

**Equity Security** - An ownership interest in a company, most often taking the form of corporate stock.

**Foreign Interest** - Any foreign government, agency of a foreign government, or representative of a foreign government; any form of business enterprise or legal entity organized, chartered, or incorporated under the laws of any country other than the U.S. or its possessions and trust territories, and any person who is not a citizen or national of the United States.

**Foreign Person** - Any foreign interest and any U.S. person effectively owned or controlled by a foreign interest.

**Guarantor** - One who makes the guaranty (an agreement or promise to answer for the debt, default, or miscarriage of another).

**Immigration Status** - Legal basis for a non-U.S. citizen's residence in the United States (e.g., work visa, admission for permanent residence). **NOTE:** Immigration and Naturalization Service Form I-9 is an excellent source for this information.

**Joint Venture** - A partnership or cooperative agreement between two or more persons or firms, usually restricted to a single specific undertaking. Normally the undertaking is of short duration, such as for the design and construction of a dam.

**Liability** - Claim on the assets of a company or individual.

**Licensing Agreement** - A permit granted by one business to another which permits duplication of processes and production of similar items.

**Management Positions** - For the purposes of the questions on this form, management positions shall include owners, officers, directors, partners, regents, trustees, senior management officials, other executive personnel, and the facility security officer.

**Nominee Share** - A share of stock or registered bond certificate which has been registered in a name other than the actual owner.

**Proxy** - One who acts for another. Also, the document by which such a representative is authorized to act.

**Representative of a Foreign Interest (R.F.I.)** - A citizen or national of the U.S., who is acting as a representative of a foreign interest (see Foreign Interest).

**SEC Schedule 13D** - This schedule discloses beneficial ownership of certain registered equity securities. Any person or group of persons who acquire a beneficial ownership of more than 5% of a class of registered equity securities of certain issuers must file a Schedule 13D reporting such acquisition with certain other information.

**SEC Schedule 13G** - This schedule is a much abbreviated version of Schedule 13D that is only available for use by a limited category of "persons" (such as banks, broker/dealers, and insurance companies) and even then only when the securities were acquired in the ordinary course of business and not with the purpose or effect of changing or influencing the control of the issuer.

**Sales Agreement** - An agreement between two parties for the sale of goods or services on a continuing basis.

**Stock Option** - An option is the right to buy or sell at some point in the future.

**Street Name** - The common practice of registering publicly traded securities in the name of one or more brokerage firms.

**Subordinated Debenture** - A bond having a claim on assets only after the senior debt has been paid off in the event of liquidation.

**Surety** - One who is immediately liable for the debt of another if that other person or entity fails to pay.

**Total Capital Commitment** - The sum of money and other property an enterprise uses in transacting its business.

**US Person** - Any form of business enterprise or entity organized, chartered or incorporated under the laws of the United States or its possessions and trust territories and any person who is a citizen or national of the United States.

<b>CERTIFICATE PERTAINING TO FOREIGN INTERESTS</b> <i>(Type or print all answers)</i>		<i>Form Approved</i> <b>OMB No. 0704-0194</b> Expires Dec. 31, 2000	
<p>The public reporting burden for this collection of information is estimated to average 70 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services, Directorate of Information Operations and Reports (0704-0194), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding and other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB number.</p>			
<b>PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS. RETURN COMPLETED FORM TO YOUR RESPECTIVE COGNIZANT SECURITY OFFICE.</b>			
<b>PENALTY NOTICE</b>			
Failure to answer all questions or any misrepresentation (by omission or concealment, or by misleading, false or partial answers) may serve as a basis for denial of clearance for access to classified information. In addition, Title 18, United States Code 1001, makes it a criminal offense, punishable by a maximum of five (5) years imprisonment, \$15,000 fine or both, knowingly to make a false statement or representation to any Department or Agency of the	United States, as to any matter within the jurisdiction of any Department or Agency of the United States. This includes any statement made herein which is knowingly incorrect, incomplete or misleading in any important particular.		
<b>PROVISIONS</b>			
1. This report is authorized by the Secretary of Defense, as Executive Agent for the National Industrial Security Program, pursuant to Executive Order 12829. While you are not required to respond, your eligibility for a facility clearance cannot be determined if you do not complete this form. The retention of a facility security clearance is contingent upon your compliance with the requirements of DoD 5220.22-M for submission of a revised form as appropriate.	2. When this report is submitted in confidence and is so marked, applicable exemptions to the Freedom of Information Act will be invoked to withhold it from public disclosure.  3. Complete all questions on this form. Mark "Yes" or "No" for each question. If your answer is "Yes" furnish in full the complete information under "Remarks".		
<b>QUESTIONS AND ANSWERS</b>			
	Yes	No	N/A
1. <i>(Answer 1a. Or 1b.)</i> a. <i>(For entities which issue stock):</i> Do any foreign person(s), directly or indirectly, own or have beneficial ownership of 5 percent or more of the outstanding shares of any class of your organizations equity securities? If yes:  Identify the percentage of any class of stock or other securities issued, which are owned by foreign persons, broken down by country. Include indirect ownership through one or more intermediate level(s) of subsidiaries. Indicate voting right of each class of stock.			
	Yes	No	None
♦ Are there shareholder agreements? If yes, attach a copy(ies), and if none, so state.			
	Yes	No	N/A
♦ Indicate whether a copy of SEC Schedule 13D/13G report has been received from any investor. If yes, attach a copy(ies).  NOTE: Ownership of less than 5% should be included if the holder is entitled to control the appointment and tenure of any management position.			

	Yes	No	N/A
b. <i>(For entities which do not issue stock)</i> : Has any foreign person directly or indirectly subscribed 5 percent or more of your organizations' total capital commitment? If yes:			
◆ Identify the percentage of total capital commitment that is subscribed to by foreign persons.			
	Yes	No	None
◆ Is there an agreement(s) with the subscriber(s)? If yes, attach a copy(ies), and if none, so state.			
	Yes	No	
2. Does your organization directly, or indirectly, through your subsidiaries and/or affiliates, own 10 percent or more of any foreign interest? If yes:			
			N/A
◆ Identify the foreign interest by name, country, percentage owned, and personnel who occupy management positions with the organizations.			
◆ If there are personnel from your organization who occupy management positions with the foreign firm(s), identify the name(s), title, and extent of involvement in the operations (to include access to classified information).			
	Yes	No	
3. Do any non-U.S. citizens serve as members of your organizations' board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials? If yes:			
			N/A
◆ Identify the foreign person(s) by name, title, citizenship, immigration status, and clearance or exclusion status.			
◆ Attach copies of applicable by-laws or articles of incorporation which describe the affected position(s). However, if you have already provided such copies to the Cognizant Security Agency Industrial Security Representative, so state.			

	Yes	No	
4. Does any foreign person(s) have the power, direct or indirect, to control the election, appointment, or tenure of members or your organization's board of directors (or similar governing body) or other management positions of your organization, or have the power to control or cause the direction of other decisions or activities of your organization? If yes:			
<ul style="list-style-type: none"> <li>Identify the foreign person(s) by name, title, citizenship, and all details concerning the control or influence.</li> </ul> <p>NOTE: If any foreign person(s) have such power, this question shall be answered in the affirmative even if such power has not been exercised, and whether or not it is exercisable through ownership of your facility's securities, if such power may be invoked by contractual arrangements or by other means.</p>			None
5. Does your organization have any contracts, agreements, understandings, or arrangements with a foreign person(s)? If yes:			
<ul style="list-style-type: none"> <li>For each instance, provide the name of the foreign person, country, percentage of gross income derived, and nature of involvement, including: <ul style="list-style-type: none"> <li>*whether defense/nuclear related or not;</li> <li>*involvement with classified or export controlled technology;</li> <li>*compliance with export control requirements.</li> </ul> </li> <li>Where the organization has a large number of involvements and where these involvements are not defense/nuclear related and represent a small percentage of gross income, the explanation can be a generalized statement addressing the totals by country.</li> </ul> <p>NOTE: We do not expect and will not require the contractor to ask every customer if he/she falls within the NISPOM definition of a foreign person. We will ask the contractor to provide ongoing security education to those individuals who negotiate and/or administer such agreements regarding their responsibilities to report agreements with a foreign person(s) to the best of their knowledge. The contractor will be certifying the response to this question to "the best of his/her knowledge" or "through his/her best efforts".</p>			N/A

	Yes	No	
6. Does your organization, whether as borrower, surety, guarantor or otherwise have any indebtedness, liabilities or obligations to a foreign person(s)? If yes:			
			N/A
<ul style="list-style-type: none"> <li>◆ Provide your overall debt-to-equity ratio (in percentage).</li>   <li>◆ With respect to indebtedness or liability to a foreign person, indicate to whom indebted or liable, what collateral has been furnished or pledged, and any conditions or covenants of the loan agreement. If stock or assets have been furnished or pledged as collateral, provide a copy of the loan agreement or pertinent extracts thereof (to include procedures to be followed in the event of default).</li>   <li>◆ If any debentures are convertible, provide specifics.</li>   <li>◆ If loan payments are in default, provide details.</li> </ul>			
	Yes	No	N/A
<ul style="list-style-type: none"> <li>◆ This question should be answered in the affirmative if the debt is with a US entity that is owned or controlled either directly or indirectly by a foreign person. If unknown, so state.</li> </ul>			
<p>NOTE: As stated above, we do not expect and will not require the contractor to ask every lender if he/she qualifies as a foreign person. We will ask the contractor to provide ongoing security education to those employees who handle lending arrangements regarding their responsibilities to report any such arrangements with a foreign person lender, to the best of their knowledge. The contractor will be certifying the response to this question as being "to the best of his/her knowledge" or "through his/her best efforts".</p>			

	Yes	No	
7. During your last fiscal year, did your organization derive:			
a. 5% or more of its total revenues or net income from any single foreign person?			
b. In the aggregate 30% or more of its revenues or net income from foreign persons?			
			N/A
<p>If yes to either part of the question:</p> <ul style="list-style-type: none"> <li>◆ Provide overall percentage of income derived from foreign sources <u>by country</u>, nature of involvement, and type of service or products.</li> <li>◆ Indicate if any single foreign source represents in excess of 5% of total revenues or net income.</li> <li>◆ Indicate whether any classified information is involved.</li> <li>◆ State whether facility is in compliance with applicable export control requirements.</li> </ul> <p>NOTE: As previously stated, we do not expect and will not require the contractor to ask every customer if he/she qualifies as a foreign person. We will ask the contractor to provide ongoing security education to those employees who handle information about company revenues regarding their responsibility to report revenues derived from a foreign person(s) to the best of their knowledge. The contractor will be certifying the response to this question as being "to the best of his/her knowledge" or "through his/her best efforts".</p>			
	Yes	No	
8. Is 10 percent or more of any class of your organization's voting securities held in "nominee" shares, in "street names" or in some other method which does not identify the beneficial owner? If yes:			
			N/A
<ul style="list-style-type: none"> <li>◆ Identify each foreign institutional investor holding 10% or more of the voting stock by name and address and the percentage of stock held.</li> <li>◆ Indicate whether any investor has attempted to, or has exerted any control or influence over appointments to management positions or influenced the policies of the organization.</li> <li>◆ Include copies of SEC Schedule 13D/13G.</li> </ul>			

	Yes	No	
9. Do any members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials hold any positions with, or serve as consultants for, any foreign person(s)? If yes:			
			N/A
<ul style="list-style-type: none"> <li>◆ Provide the name, title, citizenship, immigration status, and clearance or exclusion status on all such persons.</li> <li>◆ Identify, by name and address, each foreign organization with which such persons serve and indicate the capacity in which they are serving.</li> <li>◆ Include a Statement of Full Disclosure of Foreign Affiliations for every cleared individual who is a representative of a foreign interest.</li> </ul> <p>NOTE: We expect the contractor to be able to answer this question fully for those individuals holding such positions with his/her foreign subsidiaries and any foreign interests. However, we do not expect and will not require the contractor to ask every individual to ascertain if he/she is serving as a director, officer or manager of a foreign person. We will ask the contractor to provide ongoing security education to all key management personnel of their responsibilities to report serving as an interlocking director or in any other type of positions with a foreign person to the best of their knowledge. The contractor will be certifying the response to this question as being "to the best of his/her knowledge" or "through his/her best efforts".</p>			
	Yes	No	
10. Is there any other factor(s) that indicates or demonstrates a capability on the part of foreign persons to control or influence the operations or management of your organization? If yes:			
			N/A
<ul style="list-style-type: none"> <li>◆ Describe the foreign involvement in detail, including why the involvement would not be reportable in the preceding questions.</li> </ul>			

**REMARKS** (Attach additional sheets, if necessary, for a full detailed statement.)

**PLEASE COMPLETE ONLY THE SECTIONS THAT ARE APPLICABLE TO THE  
TYPE OF ENTITY THAT APPLIES TO YOUR COMPANY**

**(DIRECTIONS FOR COMPLETING THE CERTIFICATION ARE LISTED BELOW)**

<b>CERTIFICATION</b>	
<p>I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.</p>	
<p><b><u>SECTION I</u> (COMPLETE BY NON-CORPORATE ENTITIES)</b></p> <p>WITNESSES:</p> <p>_____</p> <p>_____</p>	<p><b><u>SECTION II</u> (COMPLETE BY CORPORATE AND NON-CORPORATE ENTITIES)</b></p> <p>_____</p> <p style="text-align: center;">(Signature and date certified)</p> <p>_____</p> <p style="text-align: center;">(Title)</p> <p style="text-align: center;"><b>CONTRACTOR NAME AND ADDRESS:</b></p> <p>_____</p> <p>_____</p> <p>_____</p>
<p><b><u>SECTION III</u> (COMPLETE BY CORPORATE ENTITIES)</b></p> <p>I, _____, certify that I am the _____ of the corporation named as Contractor herein; that _____ who signed the certification in Section II on behalf of the Contractor, was then _____ of said corporation; that said corporation was duly signed for and on behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.</p> <p style="text-align: right;">_____</p> <p style="text-align: right;">(Signature and date certified)</p> <p>(Corporate Seal)</p>	

**Notes:**

**SECTION I – This section is to be completed ONLY by companies that are Non-corporate entities.**

1. For a company that has more than one Owner/Officer listed on the OODEP List:  
The individual(s) selected as a “WITNESS” should be an individual listed on the OODEP List.
2. For a company that only has an Owner – there are no other Officers, such as Vice-President, Secretary, etc.:  
The Owner can have someone in his/her company be a “Witness”, e.g., a personal Secretary. The Owner should provide a letter identifying that the individual is authorized to be a “Witness” on behalf of the company.

**SECTION II – This section is to be completed by companies that are Corporate entities or Non-corporate entities.**

Section II is to be completed and signed by an individual listed on the OODEP List, e.g., the President.

**SECTION III – This section is to be completed ONLY by companies that are Corporate entities.**

1. For a corporation that has more than one Officer and Director listed on the OODEP List:  
Section III must be completed by an individual listed on the OODEP List, e.g. if the President completed and signed Section II, another individual listed on the OODEP List such as the Vice-President, Secretary, or Treasurer, etc., should complete and sign Section III. The individual signing the certification area of Section II cannot complete and sign Section III.
2. For a corporation that only has one Officer - there are no other Officers and Directors, such as Vice-President, Secretary, etc.:  
The Officer can have someone in his/her organization complete and sign Section III, e.g., a personal Secretary. The Secretary should designate her title as “Secretary (Office)”. The Officer should provide a letter identifying that the individual is authorized to complete and sign Section III on behalf of the corporation.

# **SAMPLE**

## **CERTIFICATION FOR NON-CORPORATE ENTITIES**

### **FOR A COMPANY THAT HAS MORE THAN ONE OFFICER LISTED ON THE OODEP LIST**

(DIRECTIONS FOR COMPLETING THE CERTIFICATION ARE LISTED BELOW)

<b>CERTIFICATION</b>	
I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.	
<b><u>SECTION I (COMPLETE BY NON-CORPORATE ENTITIES)</u></b>	<b><u>SECTION II (COMPLETE BY CORPORATE AND NON-CORPORATE ENTITIES)</u></b>
WITNESSES:	
John Q. Public _____	/s/ John E. Doe _____ 8-9-00____
_____	(Signature and date certified)
_____	____ President _____
	(Title)
	<b>CONTRACTOR NAME AND ADDRESS:</b>
	____ Mechanics Company _____
	____ 111 Myford Avenue _____
	____ Pittsburgh, PA 15022 _____
<b><u>SECTION III (COMPLETE BY CORPORATE ENTITIES)</u></b>	
I, _____, certify that I am the _____ of the corporation named as Contractor herein; that _____ who signed the certification in Section II on behalf of the Contractor, was then _____ of said corporation; that said corporation was duly signed for and on behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.	
_____ (Signature and date certified)	
(Corporate Seal)	

#### **Notes:**

**Section I – This section is to be completed only by a company that is a Non-corporate entity.**

For a company that has more than one Owner/Officer listed on the OODEP List:

**Section II – This section is to be completed by a company that is a Non-corporate entity.**

Section II is to be completed and signed by an individual listed on the OODEP List, e.g., the President.

The individual(s) selected as a “Witness” should be an individual listed on the OODEP List.

**Section III – Do not complete this section.**

# SAMPLE

## CERTIFICATION FOR NON-CORPORATE ENTITIES

**FOR A COMPANY THAT ONLY HAS AN OWNER – THERE ARE NO OTHER OFFICERS, SUCH AS VICE-PRESIDENT, SECRETARY, ETC., (THE OWNER CAN HAVE SOMEONE IN HIS/HER COMPANY BE A “WITNESS”, E.G., A PERSONAL SECRETARY CAN BE A WITNESS AND SIGN SECTION II)**

CERTIFICATION	
I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.	
<b><u>SECTION I (COMPLETE BY NON-CORPORATE ENTITIES)</u></b>  WITNESSES:  Mary W. Pole _____  _____  _____	<b><u>SECTION II (COMPLETE BY CORPORATE AND NON-CORPORATE ENTITIES)</u></b>  /s/ John E. Doe _____ 8-9-00__ (Signature and date certified)  _____ President (Title)  <b>CONTRACTOR NAME AND ADDRESS:</b>  _____ Mechanics Company  _____ 111 Myford Avenue  _____ Pittsburgh, PA 15022
<b><u>SECTION III (COMPLETE BY CORPORATE ENTITIES)</u></b>  I, _____, certify that I am the _____ of the corporation named as Contractor herein; that _____ who signed the certification in Section II on behalf of the Contractor, was then _____ of said corporation; that said corporation was duly signed for and on behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.  _____ (Signature and date certified)  (Corporate Seal)	

### Notes:

**Section I – This section is to be completed only by a company that is a Non-corporate entity.**

For a company that only has an Owner – there are no other Officers, such as Vice-President, Secretary, etc.:

The Owner can have someone in his/her company be a “Witness”, e.g., a personal Secretary. The Owner should provide a letter identifying that the individual is authorized to be a “Witness” on behalf of the company.

**Section II – This section is to be completed by a company that is a Non-corporate entity.**

Section II is to be completed and signed by the Owner/President.

**Section III – Do not complete this section.**

# SAMPLE

## CERTIFICATION FOR CORPORATE ENTITIES

### FOR A CORPORATION THAT HAS MORE THAN ONE OFFICER AND DIRECTOR LISTED ON THE OODEP LIST

CERTIFICATION	
I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.	
<b>SECTION I (COMPLETE BY NON-CORPORATE ENTITIES)</b>  WITNESSES:  _____  _____	<b>SECTION II (COMPLETE BY CORPORATE AND NON-CORPORATE ENTITIES)</b>  /s/John E. Doe 8-9-00 (Signature and date certified)  _____ President (Title)  <b>CONTRACTOR NAME AND ADDRESS:</b>  Mechanics Company  111 Myford Avenue  Pittsburgh, PA 15022
<b>SECTION III (COMPLETE BY CORPORATE ENTITIES)</b>  I, John Q. Public, certify that I am the Vice-President of the corporation named as Contractor herein; that John E. Doe who signed the certification in Section II on behalf of the Contractor, was then President of said corporation; that said corporation was duly signed for and on behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.  /s/ John Q. Public 8-9-00 (Signature and date certified)  (Corporate Seal)	

#### Notes:

**Section I – Do not complete this section.**

**Section II – This section is to be completed by a company that is a Corporate entity.**

Section II is to be completed and signed by an individual listed on the OODEP List, e.g., the President.

**Section III – This section is to be completed by a company that is a Corporate entity.**

For a corporation that has more than one Officer and Director listed on the OODEP List:

Section III must be completed by an individual listed on the OODEP List, e.g., if the President completed and signed Section II, another individual listed on the OODEP List such as the Vice-President, Secretary, or Treasurer, etc., should complete and sign Section III. The individual signing the certification area of Section II cannot complete and sign Section III.

# SAMPLE

## CERTIFICATION FOR CORPORATE ENTITIES

**FOR A CORPORATION THAT ONLY HAS ONE OFFICER – THERE ARE NO OTHER OFFICERS AND DIRECTORS, SUCH AS VICE-PRESIDENT, SECRETARY, ETC., (THE OFFICER CAN HAVE SOMEONE IN HIS/HER ORGANIZATION COMPLETE AND SIGN SECTION III, E.G., A PERSONAL SECRETARY)**

CERTIFICATION	
I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.	
<b><u>SECTION I</u></b> (COMPLETE BY NON-CORPORATE ENTITIES)  WITNESSES:  _____  _____	<b><u>SECTION II</u></b> (COMPLETE BY CORPORATE AND NON-CORPORATE ENTITIES)  /s/ John E. Doe 8-9-00_____ (Signature and date certified)  _____ President (Title)  <b>CONTRACTOR NAME AND ADDRESS:</b>  _____ Mechanics Company  _____ 111 Myford Avenue  _____ Pittsburgh, PA 15022
<b><u>SECTION III</u></b> (COMPLETE BY CORPORATE ENTITIES)  I, <u>Mary W. Pole</u> , certify that I am the <u>Secretary (Office)</u> of the corporation named as Contractor herein; that <u>John E. Doe</u> who signed the certification in Section II on behalf of the Contractor, was then <u>President</u> of said corporation; that said corporation was duly signed for and on behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.  <div style="text-align: right;">/s/ Mary W. Pole 8-9-00_____ (Signature and date certified)</div> (Corporate Seal)	

### **Notes:**

**Section I** – Do not complete this section.

**Section II** – This section is to be completed by a company that is a Corporate entity.

Section II is to be completed and signed by the Owner/President.

**Section III** – This section is to be completed by a company that is a Corporate entity.

For a corporation that only has one Officer – there are no other Officers and Directors, such as Vice-President, Secretary, etc.:

The Officer can have someone in his/her organization complete and sign Section III, e.g., a personal Secretary. The Secretary should designate her title as “Secretary (Office)”. The Officer should provide a letter identifying that the individual is authorized to complete and sign Section III on behalf of the corporation.

LIST ALL OWNERS, OFFICERS, DIRECTORS, AND EXECUTIVE PERSONNEL (ODEP LIST)

Date Submitted: \_\_\_\_\_

Company's current legal name, address, and phone number  
of Company's principal executive offices:

Other names used (e.g. doing business as):

_____	TAX IDENTIFICATION NO.: _____
_____	Date Company was Incorporated: _____
_____	State of Incorporation: _____

(Include any name or address change of the Company's principal executive office and date(s) of change during past 10 years in an Attachment.)

Corporate Status:

<input type="checkbox"/> Corporation	<input type="checkbox"/> Sole Proprietorship	Partnership: <input type="checkbox"/> General <input type="checkbox"/> Limited	<input type="checkbox"/> Other _____
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Stock Ownership:

<input type="checkbox"/> Privately-Owned	<input type="checkbox"/> Publicly-Traded	<input type="checkbox"/> Subsidiary of: _____
--	--	---

NAME	ALL TITLES/ POSITIONS HELD	IF OWNER, % OF OWNERSHIP	SSN	CLEARANCE HELD AND/OR BEING OBTAINED AND ISSUING AGENT	CITIZENSHIP

<sup>1</sup> The above information, i.e., name, titles, etc. must be provided for the following: (a) the proprietor of a sole proprietorship; (b) all individual managing the business affairs of a corporation. In most cases, these individuals are identified in the Articles of Incorporation by By-Laws and include, but are not necessarily limited to, the Board of Directors, President, Secretary, and Treasurer; (c) the General Partner(s) of a Limited Partnership; and (d) all partners of a General Partnership.

<sup>2</sup> In addition, privately-held entities must provide the above information, i.e., name, titles, etc., for all owners, and also provide the percentage of issued stock/shares held by each other.

List certified correct by:

\_\_\_\_\_  
Typed or Printed Name and Signature

\_\_\_\_\_

\_\_\_\_\_  
Date

Title

VII. DID YOU PROVIDE THE FOLLOWING SUPPLEMENTAL INFORMATION?

Yes      NA

- |   |                          |                          |
|---|--------------------------|--------------------------|
| a. A FOCI representation and certification for all parents?<br>(This includes all parent organizations within the U.S. parent organizations outside the U.S. are not required to complete a FOCI representation)  | <input type="checkbox"/> | <input type="checkbox"/> |
| b. An organization chart identifying the relationship between yourself, intervening levels of ownership, and the ultimate parent.   | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Copy of Annual Report for the ultimate parent.<br>(For a publicly traded company or a subsidiary of another corporation)   | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Copy of most recent Proxy Statement.<br>(For a publicly traded company or a subsidiary of another corporation)   | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Copy of SEC 10-K Report.<br>(For a publicly traded company or a subsidiary of another corporation)   | <input type="checkbox"/> | <input type="checkbox"/> |
| f. Consolidated financial information for subsidiaries.   | <input type="checkbox"/> | <input type="checkbox"/> |
| g. Attached a list of organizations officers, directors, executive personnel (OODEP List) to include their names; social security numbers, citizenship; titles of all positions they hold within the organization; and what clearances, if any, they possess or are in the process of obtaining and identification of the government agency(ies) that granted or will be granting those clearances. (See table) | <input type="checkbox"/> | <input type="checkbox"/> |
| h. Consolidated financial information.<br>(Required if the offeror is privately owned)  | <input type="checkbox"/> | <input type="checkbox"/> |
| <p>Note: If Offeror checks "NA" for this item, he must explain the basis for that position in item k. below.</p>  |                          |                          |
| i. Copy of SEC Form 13D. (If such a form was filed)   | <input type="checkbox"/> | <input type="checkbox"/> |
| j. Copy of SEC Form 13G. (If such a form was filed)   | <input type="checkbox"/> | <input type="checkbox"/> |
| k. Comments: _____  |                          |                          |

DOE 539.3  
(12-9)  
(Form DOE F 5630.13)  
All Other Editions Are Obsolete

OMB Control No.  
1910-1800

U.S. DEPARTMENT OF ENERGY  
**REPORT OF SECURITY INCIDENT/INFRACTION**

**OMB BURDEN DISCLOSURE STATEMENT**

Public reporting burden for this collection of information is estimated to average 25 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-1800), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1800), Washington, DC 20503.

**Part I - NOTIFICATION OF SECURITY INCIDENT**

Part I. To be completed by the Security Office conducting the preliminary inquiry.

1. Organization in which incident occurred:

2. Date of incident:

3. Nature of incident:

4. Classification level of information involved:

Confidential ☐  
Secret ☐  
Top Secret ☐

5. Category of information involved:

Restricted Data ☐  
Formerly Restricted Data ☐  
National Security Information ☐

6. Identify other caveats of  
information involved:

7. Details of incident:

8. Name, title, and organization of the individual  
reporting the security incident:

9. Signature:

10. Date:

PRIVACY ACT STATEMENT ON REVERSE



Printed with soy ink on recycled paper

DOE F 5639.3  
(12-93)  
(Formerly DOE F 5630.13)  
All Other Editions Are Obsolete

**PART II - REPORT BY OFFICE CONCERNED**

To be completed by the Office in which incident occurred/originated and return within  
15 days to the Cognizant Security Office of the individual receiving infraction.

1. Reason or cause for incident:

2. Name and title of person responsible for infraction:	3. Social Security Number:	4. Number of infractions incurred in the last 12 months:
5. Signature of individual receiving infraction:		6. Date:
7. Corrective action taken, to include disciplinary action, if applicable.		

8. Name and title of Office Director:	9. Signature:	10. Date:
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**PRIVACY ACT STATEMENT**

Executive Order 12356, Part 5, dated April 2, 1982, authorizes collection of this information. The primary use of this information is by the Office of Security for documenting security incidents and infractions. The information contained on this form may be disclosed as a routine use to the appropriate agency, whether Federal, State, local or foreign, charged with the responsibility of investigating or prosecuting such incident or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto. Information on this form may be disclosed as a routine use to a Federal agency in response to its request in connection with the hiring or retention of an employee, or the issuance of a security clearance. The collection of the employee's Social Security Number is authorized by Executive Order 12356, Part 5. Furnishing the information on this form, including the Social Security Number is strictly voluntary, and will help to ensure accurate and timely processing of this form.

DOE F 5635.11  
(1-84)  
(Previously DP-H179)

U.S. DEPARTMENT OF ENERGY

REPORTING UNACCOUNTED FOR DOCUMENTS

The following information is furnished to the Director of Safeguards and Security, in accordance with HQ Appendix 2105 and in follow-up to the oral report made by

\_\_\_\_\_ (Name)  
to \_\_\_\_\_, on \_\_\_\_\_ (Date)  
(Name of Security Representative)

(Signature of Office Director, or Division Head)

(Date)

(If possible avoid including information that would necessitate classification of this form)

1. DOCUMENT IDENTIFICATION

(a) Document number (T/S identification, weapon data report, research and development report, etc.)	(b) Copy number _____ of _____ copies, series _____ Number of pages _____
(c) Date of document	(d) Classification Top Secret <input type="checkbox"/> Secret <input type="checkbox"/> Confidential <input type="checkbox"/> (e) Nature of Information Formerly Restricted Data <input type="checkbox"/> Restricted Data <input type="checkbox"/> Other Defense Information <input type="checkbox"/>
(f) Title or subject _____ _____ _____	
(g) Originator _____ _____ _____	(h) Addressee _____ _____ _____
(i) Type of document (size, color, memorandum, signed original, carbon copy, photostat, etc.) _____ _____ _____	

2. OFFICE ACCOUNTABILITY

(a) Date document entered office accountability _____ _____ _____	
(b) Personnel in office who have had access to existing copies as well as unaccounted for copy (or copies) _____ _____ _____	(c) Personnel outside office who have had access to existing copies as well as unaccounted for copy (or copies) _____ _____ _____

3. UNACCOUNTABILITY

(a) Time and date document was first determined unaccounted for _____ _____ _____
(b) Full statement regarding unaccountability. Use blank portion on reverse side or attach extra sheet to include the following:  (1) Reason why document is believed to be misfiled or definitive statement of destruction without record, <i>OR</i> (2) Indication or allegation that the document(s) have been either stolen, concealed, misappropriated, or lost under circumstances indicating violation of Federal statute, <i>AND</i> (3) Whether or not document is considered to be of great importance to the DOE program and reasons therefor, <i>AND</i> (4) If appropriate, statement of improper possession by unauthorized persons.

DOE F 5639.2

(08-93)

Previously DOE F 5635.11

All Other Editions Are Obsolete

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**4. OFFICE ACTION**

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(a) Person responsible for this security infraction\_\_\_\_\_

(b) Corrective action taken with person responsible for this security infraction.

(c) Corrective action taken to prevent recurrence of similar incidents in the future.

(d) Result of search to account for document(s), including statement that all files in division or office have been checked.

(e) Attach signed statement by person responsible for security infraction and signed statements by all other persons involved in the unaccountability of the document (s)

This space is to be used for completion of item 3 or other items, if necessary. Extra sheets shall be attached in order to complete this report.

## SENSITIVE COUNTRIES LIST

The following is a list of sensitive foreign countries. Countries appear on this list for reasons of national security, terrorism, or nuclear nonproliferation support.

Algeria	Iran	Russia
Armenia	Iraq	Sudan
Azerbaijan	Israel	Syria
Belarus	Kazakhstan	Taiwan
China, People's Republic of	Kyrgyzstan	Tajikistan
Cuba	Libya	Turkmenistan
Georgia	Moldova	Ukraine
India	Korea, Democratic People's Republic of (North Korea)	Uzbekistan
	Pakistan	

**NOTE:** Due to the dynamic nature of world events, other countries may, at any time, become sensitive. Therefore, caution should be exercised in dealing with citizens of countries not listed to assure that sensitive information, although unclassified in nature, is not inadvertently disclosed. This would include nuclear and other U.S. technology and economic information.

## **INSTRUCTIONS FOR CITIZENSHIP VERIFICATION (FOR SECURITY CLEARANCE ELIGIBILITY)**

The attached Citizenship Verification Form for all applicants must be submitted with Standard Form 86, the Questionnaire for National Security Positions (QNSP) otherwise the QNSP will not be submitted to the United States Department of Energy (DOE), Pittsburgh Naval Reactors Office, for processing.

As an applicant, you must take the form to your employer or prospective employer for verification. You must provide documentation for each item identified on the form. Citizenship verification must be provided by one of the acceptable means of evidence identified on the rear side of the form.

The completed form must be verified by your employer or prospective employer, as noted on the form, and then submitted with the QNSP.

If you are not directly employed by a contractor (e.g., union personnel or other single individuals), you must provide this verification yourself with the QNSP.